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ABSTRACT

This final report is a product of a comprehensive 14-month Preservation Planning Program (PPP) self-study conducted by the University of Pittsburgh Libraries, working with the Association of Research Libraries' (ARL) Office of Management Studies. The PPP is designed to put self-help tools into the hands of library staff responsible for developing plans and procedures for preserving library materials. A study team of six librarians carried out the study, and an additional 29 staff members participated in gathering and analyzing data for this study, which was intended to develop a 5-year preservation plan. Recommendations for five major areas are presented in this report: Collections Conditions; Environmental Conditions; Organization and Procedures; Resources/Instruction; and Disaster Planning. These recommendations focus on improving the environmental conditions of book storage, extending the capacity to repair and reformat damaged books, developing education/awareness programs for staff and users, and increasing preservation resources. Appended are the charges to the study team and to the task forces responsible for the five particular areas of concern, and a list of documents produced by the study. (CGD)

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ABOUT THIS PUBLICATION

This final report from the 14-month Preservation Planning Program conducted by staff members of the University of Pittsburgh Libraries is being distributed by the Office of Management Studies, Association of Research Libraries, which served as a consultant to the library during the study.

Using the OMS-developed Preservation Planning Program, the University of Pittsburgh Libraries undertook a comprehensive self-study of preservation activities with the overall goal of developing a five-year preservation plan. A study team of six librarians carried out the study and an additional 29 staff members participated in gathering and analyzing data.

In this report, recommendations related to five major areas are presented: Collections Conditions, Environmental Conditions, Organization and Procedures, Resources/Instruction, and Disaster Planning. The recommendations focus on improving the environmental conditions of book storage, extending the capacity to repair and reformat damaged books, developing education/awareness programs for staff and users, and increasing preservation resources.

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P R E S E R V A T I O N P L A N N I N G
P R O J E C T S T U D Y T E A M

F I N A L R E P O R T

University of Pittsburgh Libraries

November, 1987

PRESERVATION PLANNING PROJECT STUDY TEAM

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INTRODUCTION

In a letter to the editor of Gentleman's Magazine dated July 4, 1823, John Murray wrote:

> allow me to call the attention of your readers to the present state of that wretched compound called Paper. Every printer will corroborate my testimony. I have watched for some years the progress of the evil, and have no hesitation in saying that...a century more will not witness the volumes printed within the last twenty years. (1)

To which letter the editor noted:

> ...as we can from sad experience confirm the truth of his assertions.

One hundred sixty years later, Oscar Handlin observed:

> ...the materials themselves are fragile; whether comprised of paper made from pulp in the past century, or tape, or disks. They are subject to eventual deterioration due to such factors as humidity and heat as well as frequency of handling. In the absence of energetic preservation programs, these valuable resources for understanding the past will crumble away.(2)

The toll on books that began in the mid-19th. century with increased use of acidic paper and that was compounded by factors of environmental fluctuations, pollution, wear and tear, processing and storage conditions has resulted in a crisis situation for all libraries, but most especially for research libraries. W. J. Barrow, in a 1957 Council on Library Resources

study, reported that 97% of sample book papers manufactured in the first forty years of this century had a useful life of no more than fifty years, with half of those likely to last less than twenty-five years if used at all.

It is currently estimated that between 25% and 50% of the volumes in major research libraries are so embrittled that in many instances one more use may be the last. Yale University Libraries, in 1980/81 with NEH funding, undertook a comprehensive study of book deterioration. The study found that 37.1% of their books had brittle paper and that 82.6% had acidic paper. The Library of Congress estimated that more than six million volumes have deteriorated so badly that they cannot be used without risk of irreparable damage. One half of the New York Public Library collections is believed to be in a similarly advanced state of disintegration. It has been calculated that the value of American research library collections is decreasing at about three-quarters of a billion dollars per year as a result of this deterioration.(3)

The Association of Research Libraries (ARL) established a Committee on the Preservation of Research Materials in 1960. The Committee, in 1964, issued its report "The Preservation of Deteriorating Books: an Examination of the Problem with Recomdations for a Solution" prepared by Gordon Williams. In 1972, the Committee's report "Preparation of Detailed Specifications for a National System for the Preservation of Library Materials", by

Warren J.Haas was issued. These two reports identified the problem in the national context and began to suggest solutions.

While the road to a national preservation program will be long and slow, there have been many efforts on the local and regional levels. The ARL has continued in assisting research libraries by preparing various Spec Kits on the many preservation related issues facing these libraries. The most recent of these was Spec Kit #137, September, 1987, on "Preservation Guidelines in ARL Libraries".

The recent history of preservation efforts is replete with extensive publications ranging from "how-to-do-it" manuals/ workbooks, and reports of individual library surveys to recitals of advantages/disadvantages of various technologies. On the national level, the Library of Congress continues its efforts in preservation, supporting various activities to which research libraries look for assisting their efforts.

The scope and extent of preservation problems has been brought into sharper focus. In 1980, a planning conference resulted in the publication "A National Preservation Program: Proceedings of a Planning Conference". The International Federation of Library Associations and Institutions (IFLA) co-sponsored in cooperation with UNESCO and the Austrian National Library a forum in 1986 to exchange information internationally on problems and possible solutions. The program examined approaches to preservation from both technical and theoretical perspectives.(4)

Libraries are now seeking improvements in physical environments, some publishers, notably university presses, are printing on acid-free paper and scholars and libraries are joining ranks to indentify those materials in need of preservation and to seek funding for the massive enterprise.

However,

> The preservation effort, if it is to be successful, requires a high level of coordination, commitments to funding beyond what is routinely available to libraries and, above all, widespread understanding of the magnitude and urgency of the problem.
>
> The magnitude of the problem is so large, and the current resources for attacking it so small, that coordination is critical for setting national preservation priorities and for preventing duplication of preservation efforts. (5)

The Commission on Preservation and Access established in 1986 identified those requirements as necessary for a national program to be successful:

> Widespread understanding of the preservation problem
>
> Brittle book preservation should employ the most effective technology available at any given time
>
> An efficient bibliographic system
>
> Systematic and purposeful collabortion among all libraries and allied organizations

Given these requirements, the Commission will:

> Provide an organizational structure to assist and support the libraries directly involved, and
>
> Promote a funding plan for the work (6)

During the period from the early ARL efforts to the establishment of the Commission on Preservation and Access, not until ARL had developed through its Office of Management Studies the Preservation Planning Program, was it possible to engage in a formal self study that could be used as a management tool.

Dr. Anne Woodsworth, Associate Provost and Director of University Libraries, recognized, in her 1984 University Libraries: A Five Year Plan, that in planning for the future of the University Library System, it would be necessary to undertake a:

> ...comprehensive survey to determine the rate and conditions under which materials are deteriorating [in the University Libraries at the University of Pittsburgh] and the corrective measures which should be undertaken with respect to physical facilitie (ventilation, temperatures, insects and rodents,lighting) and staff efforts (physical handling of materials, disaster plans, training). Therefore, it is of the utmost importance that there be a preservation and conservation survey of all libraries at the University of Pittsburgh, to evaluate building and environment as they relate to the conservation needs of collections, to examine storage conditions and handling procedures and to assess the general condition of the collections themselves.

It was to this end that the Preservation Planning Project Self Study was undertaken in the University Library of the University of Pittsburgh in September, 1986.

"THE GREAT TASK OF LIBRARIES,
WORLDWIDE,
IS THE PRESERVATION OF THE
ORDINARY"

-from "Slow Fires,"
a film on preservation

THE STUDY

In September, 1986, the University of Pittsburgh Libraries System embarked on its first Association of Research Libraries- Office of Management Studies (ARL-OMS) Self study. The Study Team was appointed by Dr.Anne Woodsworth, Associate Provost and Director of Libraries and received her charge by memo of September 10, 1986. The overall project goal was for the Study Team

> ...to produce a plan for preservation activities at the University of Pittsburgh with a set of realistic objectives for at least five years, including short-term and mid-term actions recommended to achieve the objectives. This plan should set these objectives into the context of the University's organizational structure and separately administered libraries.
> ...the plan should describe what needs to be done, in what order or priority, within what time-frame, the requisite organizational and administrative arrangements and procedures, and budgetary requirements.
>
> The Study Team is specifically charged to carry out the following tasks:
>
> 1. Assess the current physical condition of library collections, including guidelines for selecting items for preservation;
>
> 2. Investigate the environmental conditions;
>
> 3. Consider how preservation activities might best be organized and administered;
>
> 4. Review current and future resources available within thee University and through cooperative venture; and determine information and instructional needs for staff and users;
>
> 5. Identify disaster control capabilities and vulnerability.

Early in September of 1986, the ARL-OMS consultant, Jutta Reed-Scott, visited the campus and joined the Study Team to assist with the development of a realistic plan of action for the next twelve months that the study would take. The consultant's visit at the beginning of the planning process permitted the Study Team to learn and understand the planning process and the ARL-OMS study techniques in the context of the preservation issues identified by Dr.Woodsworth in her charge.

Study Team members began immediately after Mrs.Reed-Scott's visit to develop a Background Paper which was to set the stage for the implementation of the preservation study. The institutional setting, i.e., the role and mission of the University and its libraries, the devlopment and growth of library collections, and the attendant dysfunctions which inevitably occured in an evolving, complex institution such as the University were studied. The Study Team was fortunate in finding a rich trove of archival materials which enabled it to investigate the University's support of its libraries.

The development of a collections preservation program for its libraries some twenty years after moving into the Hillman Library (the University's first completely separate library building) and after a century of acquiring and building collections to support the institution's curricular and research needs was begun. An overview of the library's past and current attempts to deal with deterioration of its stock was

outlined and these attempts were juxtaposed with the currently developing technological and preservation trends.

The historical information included in the Background Paper positively underscored Dr.Woodsworth's perception of the need to preserve the University's investment in its libraries. In her charge to the Study Team, she stated

> The library collections at the University of Pittsburgh are one of its important capital investments, currently growing in value by several million dollars per year. Not only are these collections a critical component to maintain for the University's teaching and research missions, but they are an irreplaceable resource that is part of a national and international research library inventory.

A pragmatic review of the past histories of the University and the University Libraries suggested a number of assumptions which would delineate the planning of a preservation effort. It was assumed that:

> The University has identified itself as a major international research institution. Therefore, the collections will continue to grow in book and non-book materials, each medium with its attending preservation problems and needs for various degrees of preservation/conservation.
>
> The University will probably continue its on-going support of the libraries at the same level (less than 3% of the total University expenditures). It will probably not dedicate the additional funds required for a Preservation Program since demands on the available resources will continue to preclude such allocation.
>
> Current national data indicate that 25%-35% of university collections are in need of some degree of preservation. It is assumed that the University's collections will fall in the same range.

The use of the collections will continue to take a physical toll. As a most visible part of this public urban institution, the libraries are open for use not only by members of the Universiry community, but also to the public schools in the region, by those affiliated with cooperative agreements, e.g., PRLC, OCLC, ILL, and the general public.

Acquisition formats, i.e., print and microtext, will remain essentially the same during the next five years. Newer technologies may offer variations of the traditional formats, perhaps in significant numbers. Decisions based on the "track records", e.g., longevity of medium, and costs of these will be necessary. Since long-range permance of the media is not known, the use of these media for information storage should be carefully studied.

It is anticipated that a replacement storage facility for the Library Annex equipped with environmental controls and compact shelving and with the capability of housing twice the number of volumes as that of the current Library Annex will be ready within approximately a year.

Environmental conditions in the existing facilities will continue at the present levels.

Since limited additional funding will be available for adequate and appropriate space and for preservation, more imaginative uses of the existing resources will be necessary.

Total staff growth will be limited. Therefore, it appears that a preservation program will depend on the existing staff being educated as well as re-deployment and re-configuration of vacancies to provide the necessary staffing.

The time constraints for undertaking and concluding the activity of the Preservation Planning Project Study Team are such that only a selected number of the total of the University's libraries can be investigated within the PPST alloted time frame. Therefore, the PPST will develop a model for preservations needs analysis which can be used by klibraries, such as non-ULS and those in the regional campuses, which might want to investigate their own needs more closely and tailor specific preservation programs and plans.

> The University libraries will continue to cooperate with other libraries in local, regional and national consortia in the acquisition of, access to, and preservation of resources with the caveat in such agreements that the Universiry of Pittsburgh collections ought to support all undergraduate courses and provide at least basic research capability in the fields in which the University offers graduate programs.

These assumptions anticipated the need for the Task Forces to conduct in-depth studies and analyses in five areas: Collection Condition, Environment, Organization/Procedures, Resources/Instruction and Disaster Planning. Charges to these Task Forces appeared as the concluding section of the Background Paper.

The Background Paper was presented to Anne Woodsworth in November, 1986 and copies were made available to her administrative staff, members of the Coordinating Council of University Libraries (CCUL), Senate Library Committee and to members of the Task Forces when they were appointed by Dr. Woodsworth in December, 1986. Comments were solicited from all and presentations were made to various groups, e.g., the Senate Library Committee, meetings of CCUL, and the various ULS Councils by the Study Team chairperson.

Jutta Reed-Scott returned in January, 1987 to meet with the Task Forces. She walked each Task Force through the process and was available for further consultation with the Study Team. The Task Forces began their investigations almost immediately. Since barcoding of the monographs in the Hillman Library stacks had

been scheduled for February through March of 1987, the Condition of Collections Task Force delayed its major survey until Spring of that year. All Task Force studies were completed and submitted to the Study Team by September, 1987. Mrs. Reed-Scott returned for a third time in September to assist the Study Team in formulating an Executive Summary of its findings with proposed recommendations. A draft of the Executive Summary was presented to the Associate Provost and Director of Libraries in October, 1987. This final report represents the consensus which emerged after full study and deliberations by the Study Team and discussion with the library administration.

All documents of the Study Team together with the full reports prepared by the Task Forces are on file in the University Archives. A set of the Background Paper, Task Forces Reports, and Resources Notebooks are retained in the Collections Preservation Office. This final report includes the summaries and recommendations prepared by each Task Force chairperson. It was from these reports that the majority of proposed recommendations were developed.

After a year's work, the self study is completed. Acceptance and implementation of the Recommendations is now within the province of the library administration. The Study Team has every confidence that these Recommendations will be thoughtfully reviewed and carefully assessed for implementation.

NOTES

1. Murray, John. Letter to the editor, Gentleman's magazine, vol.134, July, 1923:21-22.

2. Handlin, Oscar. "Introduction", Committee on Preservation of Historical Records, Preservation of Historical Records. Washington, D.C., National Academy Press:ix-xi.

3. "Preservation: Coordinating the attack," Library issues: briefings for faculty and administrators, vol.8, #1, September, 1987: [1].

4. Smith, Merrily a., ed. "Preservation of library materials." IFLA Publication 40/41. New York, N. Y., K.G. Sauer, 1987. [1].

5. "Preservation: Coordinating the attack," Library issues: briefings for faculty and administrators, vol.8, #1, September, 1987: [1-2].

6. The Commission on Preservation and Access. Brochure. Washingtonn, D. C., The Commission, 1987.

Recommendations

PRESERVATION PLANNING PROGRAM SELF STUDY

EXECUTIVE SUMMARY

INITIAL FINDINGS

1. Total volumes damaged (brittleness of paper, damaged bindings) at the University of Pittsburgh libraries surveyed, excluding the Annex, ranged 32%-40%. When projected for all of the collections at the University, this translates into an approximate range of 939,000 to 1.2 million volumes.

2. Total damage in representive surveys:
Hillman books = 21.5% w/brittle paper; 21.7% w/damaged spines; 22.6% w/loose hinges, detached text block
Hillman journals = 26.2% w/brittle paper; 5% w/spine damage; 12% w/loose hinges, detached spine block
Public Health = 14.7% w/brittle paper; 11.6% w/ spine damage; 19.2% w/loose hinges, detached text block

3. Annex: total damage was 61.7% of the 85,000 monographs or 53,445 volumes in need of repair: 50.1% w/brittle paper; 25.9% w/spine damage; 27.7% w/loose hinges, detached text block. Invaluable and irreplaceable research materials are housed in this facility which is inadequate structurally,environmentally and in size for a storage area.

4. Book shelves in many areas, especially Hillman, are seriously overcrowded making it difficult to shelve or to remove a volume thus adding to the wear and tear on the books.

5. Environmental conditions varied significantly from library to library and sometimes within a library. Humidity levels showed the most deviation from the standards, ranging in degrees from the high teens to the 50's. Temperature in all sites was above standards levels normally 6-10 degrees. In the Annex temperature fluctuations were significant within a 24 hour period and varied day to day. Outside temperatures affected internal readings. No controls and no air-conditioning rendered the forced- air system ineffective and damaging to the books. Lack of housekeeping basics are apparent with the area being filthy and full of dust. Lack of security and other apparent structural problems add to the impossible condition. Light problems were identified and include ultra-violet and visiblle light coming in through windows and visible light at the upper stack levels.

6. The ULS Preservation Program currently in place is staffed at a minimal level and has woefully inadequate space.

7. 66% of the staff respondents to a questionnaire indicated an unawareness of current preservation policies; 74% either did not know of the program or did not understand its elements; 38% were unaware of the existing disaster planning guidelines and 43% were without copies readily at hand.

8. There is inadequate funding for a full range Preservation Program.

9. There had been attempts in the past to initiate regional/area co-operative programs for the preservation, conservation and storage of library materials. These efforts proved abortive. Today, however, the Oakland Consortium is moving aggressively to address these problems co-operatively again.

RECOMMENDATIONS

The following proposed recommendations have been put in priority for implementation during the next five years. All should be in place by the end of the fifth year.

I. The Collections

1. The Annex: Under the assumption that a new facility will be available within the next six to twelve months, it is strongly recommeded that immediate corrective action be taken: (1) inspect and repair the roof if remedial action is necessary (2) initiate custodial services on a daily/weekly basis with a building inspection conducted by the Collections Preservation Coordinator who will report problems to the Assistant Director for Administration and Access Services (3) re-shelve the monographs currently shelved on their fore-edges and (4) begin planning for a move of the collection to other storage space.
Pre-move activities: (1) thoroughly clean the collections under the supervision of the CPCoordinator, (2) determine which materials can be moved as is, what will need to be "wrapped", (3) wrap and prepare to box. These activities under the direction of the CPCoordinator.
Bibliographers should evaluate the collection for appropriateness of retention.

2. Environmental conditions in all ULS sites need to be brought into compliance with accepted standards to maintain as appropriate an environment as possible to retard rate of deterioration. Temperature in book/journal areas should be lowered to 68 degrees and maintained at this level during all seasons.Humidity levels should be in an appropriate range with temperature. Engineering feasibility studies should be commissioned for the various sites and preparations made to implement the recommedations as soon as it is feasible after the studies have been completed.

3. Install appropriate permanent window light shielding in the libraries identified as problem areas.

4. Review, and enforce upon completion of review, existing policies on prohibition of patron use of food/drink; adopt policies in libraries wherethem non-existent.

5. Close/eliminate all book drops; investigate other options for encouraging book return during open hours. Use book trucks instead of spring loaded bins for books to be reshelved; initiate hourly pick-ups for reshelving.

6. Appoint two permanent committees dedicated to (1) ongoing Disasrer Planning and Prevention and (2) a Disaster Action Team. Consideration should be given to appointing as members staff from the Oakland Consortium to ensure a Team of knowledgeable and trained persons to act in the event of disaster in any of the institutions.

7. Approve and distribute the DIASTER MANUAL 2d, ed., 1987 to all University of Pittsburgh and library sites in the Oakland and Regional Campuses. Make copies available to the Oakland Consortium and a copy to the Pittsburgh Regional Library Center; consider wider distribution at cost.

8. Upgrade the quality of microformat readers and the physical environment in which they are used. This is becoming particularly crucial as more reformatting occurs in this medium.

9. Establish preservation/conservation priorities and options. Prepare a Preservation Policy.

10. Commence a systematic review of the University Library System collections to identify (1) preservation priorities, (2) storage and (3) de-accession candidates.

11. Recommend that other libraries survey their collections following the models developed by the PPPSS.

12. Survey the microformat collections for condition and preservation needs.

II. Organization and staffing

1. Appoint a full-time, trained and experienced Preservation Specialist to supervise and direct the internal Conservation Repair and Brittle Books Programs and Binding. Recruitment should begin immediately.

2. Add two full-time support staff; one for Conservation Repair to assist with conservation repair and one for the Brittle Books Program.

3. Maintain the position of Collections Preservation Coordinator as the chief administrator of the ULS collection preservation activities liaison to non-ULS libraries and Regional program.

4. Relocate Brittle Books Program and Conservation Repair to space contiguous with Binding Unit. Relocated space should be a minimum of 2,500 square feet and should contain proper work stations.

5. Continue and expand current program of preventive treatment for in-coming materials.

6. Continue to centralize ULS conservation repair.

III. Education/Awareness Programs.

1. Develop education programs for all ULS staff who handle library materials.

2. Expand awareness in book handling to include part-time student assistants in all ULS sites.

3. Present conservation repair hands-on workshops to departmental libraries staff to insure that proper techniques are used for those very simple repairs.

4. Foster the extending of all preservation programs to non-ULS libraries.

5. Develop awareness programs for administration and faculty .

6. Utilize Library Instruction Unit in developing and presenting programs for all library users.

IV. Preservation Budget

1. Binding budget should be increased to cover monographs as identified through the Brittle Books Program for re-binding and for protective covers if not re-bindable. Increase the current budget of $140,000 to $150,000 in FY89; bring up to $200,000 in FY92 to cover projected cost increases and expansion of programs.

2. Conservation Repair supplies budget should be increased to permit purchase in bulk cover-ups, buckram, etc. in FY89 to $4,500.

3. Allocate funds for purchasing reprints and reformatted materials and for initiating re-formating for damaged materials.

4. Staffing: (1) as above, (2) secretarial support to department half-time in FY89; full-time in FY90

5. A separate budget for ULS Preservation should be established to include binding, conservation repair, re-binds, replacements , reformatting, and personnel costs. Such accounting will permit a better total picture of Preservation expenditures for internal analysis and justification and requested statistics from ARL, etc.

V. Regional Cooperative Program

While expectations may be sanguine for the establishment and implementation of a regional co-operative program (and such co-operative ventures should be encouraged and fostered), the need of an in-house preservation/conservation program, at some level, for the ULS will not be obviated.

Summaries of Task Force Reports

PRESERVATION PLANNING PROGRAM

Report of the
Collections Condition Task Force

Summary of Findings and Recommendations

Patricia Suozzi, chr.

September, 1987

The Collection Condition Task Force conducted four surveys: Hillman Books, Hillman Journals, Public Health, and the Annex. Each survey consisted of a minimum of 365 books.

SUMMARY OF FINDINGS

Hillman Books

367 books were examined in this survey. Years of publication ranged from 1840 to 1987, with the largest number published in the 1970's (103, or 28.1%), followed by the 1960's (84, or 22.9%), and the 1980's (62, or 16.9%). While place of publication varied widely, slightly more than half (189, or 51.5%) had a U.S. imprint. The next largest group came from England (37, or 10%). Publications from the USSR were third (25, or 6.8%). The majority of books had original hardcover bindings (224, or 61%), while 67 (18.3%) were rebound and 49 (13.4%) were paperbacks.

Survey results identified two main problems: brittleness of paper and damaged bindings. 21.5% of the books examined had paper that broke at four or fewer folds. 20.7% of the books either had no spine cover or had a torn spine cover, and 22.6% had loose hinges, a torn cover, or a detached text block. Very few had pages falling out (3.5%), torn or missing pages (3%), or other damage (0.3%).

When brittleness was correlated with year of publication, it was found that 15.2% of the books identified as brittle had been published since 1960. Correlation of brittleness with place of publication showed that the majority (67%) of brittle books were published in the U.S.

Hillman Journals

The population for this survey consisted of all the unclassed serials in the Hillman stacks, whether bound or unbound. The materials in the Current Periodical Room were not included.

382 items were examined. Years of publication ranged from 1820 to 1986, with the largest number published in the 1970's (86, or 22.6%), followed by the 1960's (72, or 18.9%) and the 1980's (68, or 17.8%). Place of publication varied widely with the largest group (184, or 48.2%) published in the U.S., followed by England (45, or 11.8%), Germany (24, or 6.3%), France (22, or 5.8%), and the USSR (11, or 2.9%). As would be expected in this survey, the majority of volumes were rebound (213 or 55.8%).

The main problem identified in this survey was brittle paper. 26.2% of the items examined had paper that broke at four or fewer folds. In comparison to Hillman books, far fewer binding problems were encountered among the journals. This is probably due to the large number of rebound volumes. Only 5% had spine damage and 12% had either loose hinges, a torn cover, or a detached text block. An even smaller percentage had pages falling out (4.2%), torn or missing pages (3.9%) or other damage (1.6%).

The correlation of brittleness with year of publication showed that 19% of the brittle books were published since 1960. When correlated with place of publication, slightly less than half (45%) of the brittle books were published in the U.S.

Annex

405 items were examined in this survey. The population consisted predominantly of classed books, but some unclassed journals and government documents were included. As a storage facility, it was expected that the survey would include primarily older materials. Years of publication ranged from the 1880's to the 1970's, with the largest group published in the 1960's (83, or 20.5%). The 1950's were next with 49, or 12.1%, and the 1930's and 1940's followed with the same number (47, or 11.6% each). Again, many places of publication were found, but as with the other surveys, U.S. imprints predominated (222, or 54.7%). England was second (36, or 8.9%), followed by Germany (33, or 8.1%), and France (21, or 5.2%). All other places of publication were under 2% of the survey. 60.2% (244) of the items surveyed had original hardcover bindings and 20.7% (84) were rebound.

Two main problems were identified: brittleness of paper and damaged bindings. Of greatest concern is the high rate of brittleness found. 50.1% (203) of the books examined had paper that broke after 4 or fewer folds. 25.9% had damaged spines, and 27.7% had loose hinges, torn covers, or detached text block. Again, damage in other categories was quite low.

When brittleness was correlated with year of publication for the Annex it was found that only 6.4% of the brittle books were published since 1960. Again, U.S. imprints accounted for the majority of brittle materials (56.7%) when correlated by place of publication.

Public Health

380 items were examined in the Public Health survey, including both classed books and unclassed journals. The smallest range of publication years was found here, ranging from 1880 to 1986. The largest group was published in the 1970's

(135, or 35.6%), followed by the 1960's (89, or 23.4%) and the 1950's (66, or 17.4%). There was a much smaller variety of place of publication in this survey than in the others. The overwhelming majority of items were published in the U.S. (321, or 84.5%), distantly followed by publications from England (30, or 7.9%). Type of binding was fairly evenly split between original hardcover (108, or 28.4%), rebound (107, or 28.2%), and paper (105, or 27.6%).

The level of deterioration found in Public Health was lower than that found in the other locations. This was the only survey in which binding damage outweighed brittleness as the major problem noted. 14.7% had brittle paper. 11.6% had damaged spines, and 19.2% had either loose hinges, torn covers, or detached text block.

The correlation of brittleness with year of publication showed that 26.8% of the brittle books were published in 1960 or later. When correlated by place, it was found that nearly all of the brittle books (89.3%) were published in the U.S.

RECOMMENDATIONS

A. Brittleness

Brittle paper is probably the single most serious preservation problem facing libraries today. The acid content of the paper coupled with poor environmental conditions and time cause embrittlement. Since the mid-19th century most paper used for printing has been wood pulp paper which has a much higher acidity than does the rag paper used prior to that time. We are, therefore, seeing materials published since around 1860 deteriorating much more rapidly than materials published before that date.

The process of embrittlement can be retarded by providing proper environmental conditions but it cannot be stopped except through de-acidification of the paper. While methods for doing this are being explored, they are still experimental and not feasible for routine use. At this point in time, then, once a book becomes brittle it cannot be repaired.

As noted above, time is a contributing factor in embrittlement. Older materials are likely to be more brittle than newer materials. Because of the history of the University of Pittsburgh libraries, we assumed that the majority in our samples would be of relatively recent origin (i.e., post-World War II). Our results confirmed this. The decade of publication with the largest group of items was the 1970's in three of the

surveys (Hillman Books, Hillman Journals, and Public Health) and the 1960's in the fourth (Annex). We would, therefore, expect to find relatively moderate levels of embrittlement in all four surveys. Unfortunately, the survey results did not quite support this expectation.

The level of embrittlement in Public Health was fairly low (14.7%) but the levels in Hillman Books and Hillman Journals (21.5% and 26.2% respectively) were considerably higher. Finally, the level found in the Annex (50.1%) can only be called shocking. When brittleness was correlated by year of publication, a significant percentage of the brittle books in three of the four surveys were found to have been published in 1960 or later (Hillman Books, 15.2%; Hillman Journals, 19%; Public Health, 26.8%).

In order to counteract this problem, the Task Force recommends the following:

1. That the environmental conditions which contribute to brittleness be rectified immediately in order to slow as far as possible the rate of deterioration.

2. That brittle materials in the collections be identified and replaced or transferred to another medium.

3. That those brittle materials which cannot be replaced or transferred to another medium be packaged in proper archival materials and stored under environmentally sound conditions.

4. That <u>all</u> of the materials stored in the Annex be removed immediately from that facility. There is much valuable and irreplaceable material stored in that building under conditions that are downright scandalous. The damage that has already been done is an unmitigated disaster. Any further delay in removing that material will probably mean the destruction of that collection.

<u>B. Binding Damage</u>

Damaged bindings can be attributed to many causes, among them: poor binding to begin with, heavy use, improper shelving, and crowded shelves. If the paper is not brittle, bindings can usually be repaired. Emphasis was placed on the state of binding because a good binding protects the book from some types of environmental damage and from loss of pages.

The surveys showed fairly moderate levels of binding damage. Hillman Books and Public Health were highest (18.6% and 17.9%, respectively,) followed by the Annex (11.1%) and Hillman Journals (8.9%). While not yet at disastrous levels, this amount of

damage is still a problem but it is one that can be solved. The Task Force therefore recommends the following:

1. That materials with damaged bindings be identified and rebound or otherwise repaired as appropriate. This will require allocation of additional funds for binding.

2. That overcrowding on the shelves be relieved through a regular process of shifting, weeding, and installation of additional shelves where needed.

3. That staff responsible for shelving be trained in the proper methods of doing so. Attempts should also be made to educate patrons in the proper care and handling of the books.

4. That a regular program be instituted for rebinding or reinforcing newly acquired materials before they are shelved.

5. That, due to the damage caused to bindings, book drops and spring platform bins be eliminated.

6. That only glass-to-the-edge photocopiers be used in the libraries.

C. General

This study has provided much information on the condition of collections at the University, but in no way can this be considered a complete picture. The number and diversity of libraries and collections precludes too much generalization. Some may be in better condition than those we surveyed; others may very well be worse. In addition, this study has only provided a snapshot of conditions at this point in time. We cannot yet determine with any accuracy the rate at which the collections are deteriorating. The Task Force therefore recommends the following:

1. That surveys of the other collections at the University be undertaken utilizing the methodology developed in this study, in order to provide more complete information.

2. That surveys of the collections be conducted at regular intervals in order to determine the rate of change in their condition.

3. That a special survey of the microform collections be conducted and that this include a review of environmental conditions and an examination of furniture and equipment needs.

4. That emphasis be placed on exploring the possibility of transferring deteriorating material to optical disk storage rather than microfilm or microfiche.

5. That protective plastic bags for books be handed out to all lending desks during inclement weather. This will also help to raise public awareness of care of books.

6. That ILL books not be shipped in jiffy bags.

7. That all red stringed items in the stacks be examined and either placed in archival boxes or otherwise preserved.

8. That consideration be given to discontinuing use of tattletape and providing other means of security because of the damage and mutilation resulting from patrons' removal of tattletape from the books.

PRESERVATION PLANNING PROGRAM

Report of the
Environmental Condition Task Force

Summary of Findings and Recommendations

Philip Wilkin, chr.

September, 1987

GENERAL ANALYSIS AND RECOMMENDATIONS

Recommendations for individual sites are included in the body of the report. This section includes generalizations which apply to most locations; unusually bad environmental conditions which do not fit these generalizations will be noted. All readings were taken in March-June; monitoring during other seasons would probably produce somewhat different results. It is hoped that these recommendations will help formulate an overall approach to improving environmental conditions in the library system.

Temperature.

1) temperatures were consistently too high, usually in the mid-70s. They were exceptionally high in the Annex, the north Alldred room in Hillman, and the storage room in the Music Library. For optimum preservation conditions, thermostats should be adjusted to attain an average of 67 degrees, with a range of 65-70 degrees

2) in most cases in most sites, temperatures fluctuated a maximum of eight degrees over the entire period; the daily fluctuation was often 3-4 degrees. Fluctuations were considerably greater in the Annex and the north Alldred room in Hillman. In most buildings, the forced air heating and cooling systems are turned off manually when the outside temperature is within a given range. This is a valuable fuel conservation measure, but it results in too much temperature fluctuation. Automatic controls should be adjusted to reduce the range of fluctuation.

RH. This was the most important environmental problem, in terms of deviation from ideal standards.

1) RH was generally too low--most readings were 20s-50s

2) RH had unacceptably wide and often rapid fluctuations. There were many readings in the 20s and 50s as well as 30s and 40s. The Special Collections Rare Book Room qualifies as a partial exception: although it experienced rapid fluctuations, they were over a smaller range.

Existing de- and humidification equipment should be improved and new equipment installed where there is none. Priority should be given to valuable collections. Temperatures should be lowered in the winter, because this would raise the RH. An engineering study of all libraries, to determine the feasibility of the installation of de- and humidification equipment, should be completed. A set of priorities (favoring immediate need, valuable collections, and feasibility) should be drawn up.

Light. Problems stem from two sources, windows and artificial lights.

-windows--outside light is a relatively minor problem, because it

comes into contact with only a small percentage of the collections. Windows are a source of both UV and visible light above acceptable levels in the following circumstances: 1) where direct sunlight falls on materials, and 2) where materials are in or very near windows. The only sites with serious, though localized, problems are the Annex, Alldred and the 4th Floor East and West Stacks in Hillman, Darlington, Greensburg, and Library and Information Science.

All materials should be removed from in or near windows and other locations where sunlight can hit them. Staff should participate in using existing blinds; more should be purchased where needed.

-artificial light (all fluorescent except in Darlington)--fluorescent lights produce both UV and visible light. They never produced enough UV light at any site to even approach the maximum allowable, but visible light was often a problem at the upper shelf level. In some locations at some sites, especially the Fine Arts Library, Johnstown, Falk Medical, and various stacks in Hillman, readings were well above acceptable level.

UV light shielding should be installed on windows which let in light above desirable levels.

Housekeeping. It was impossible to gather consistent, conclusive data for this subject. The analysis and recommendations are based on 1) information from questionnaires, 2) interviews with librarians, and 3) spot inspections.

Enforcement of the no food and drink policy was in some cases sporadic, in some cases non-existent. In Hillman, for example, students were observed with food and/or drink on a daily basis. In Public Health, a student was observed eating and drinking while on duty at the front desk. The policy should be rigidly enforced through regular staff patrols.

Thorough mopping and/or sweeping needs to be done on a more regular basis at some locations, like the Annex, Darlington, and Fine Arts.

Dust is a problem at some sites, in general in low circulation areas, and throughout the Annex. Building maintenance personnel do not dust, so librarians should institute regular procedures for staff and distribute the appropriate equipment (not in Annex, because the problems are too severe).

Support Structures. Shelving and work surfaces are generally in good condition, but there are problems.

1) inadequate shelf space--nearly half of the locations have severe problems, and others have serious problems, especially for oversize items. This lack of space leads to materials being shelved too high for patrons to reach (especially in Hillman) and too close to lights. It also leads to fore-edge shelving of large materials (Reference in Hillman, Buhl Social Work, Alldred). Where this has occurred, spine-shelving should be used. Finally, it leads to material being sent to the Annex, which has by far the worst environmental conditions in the system

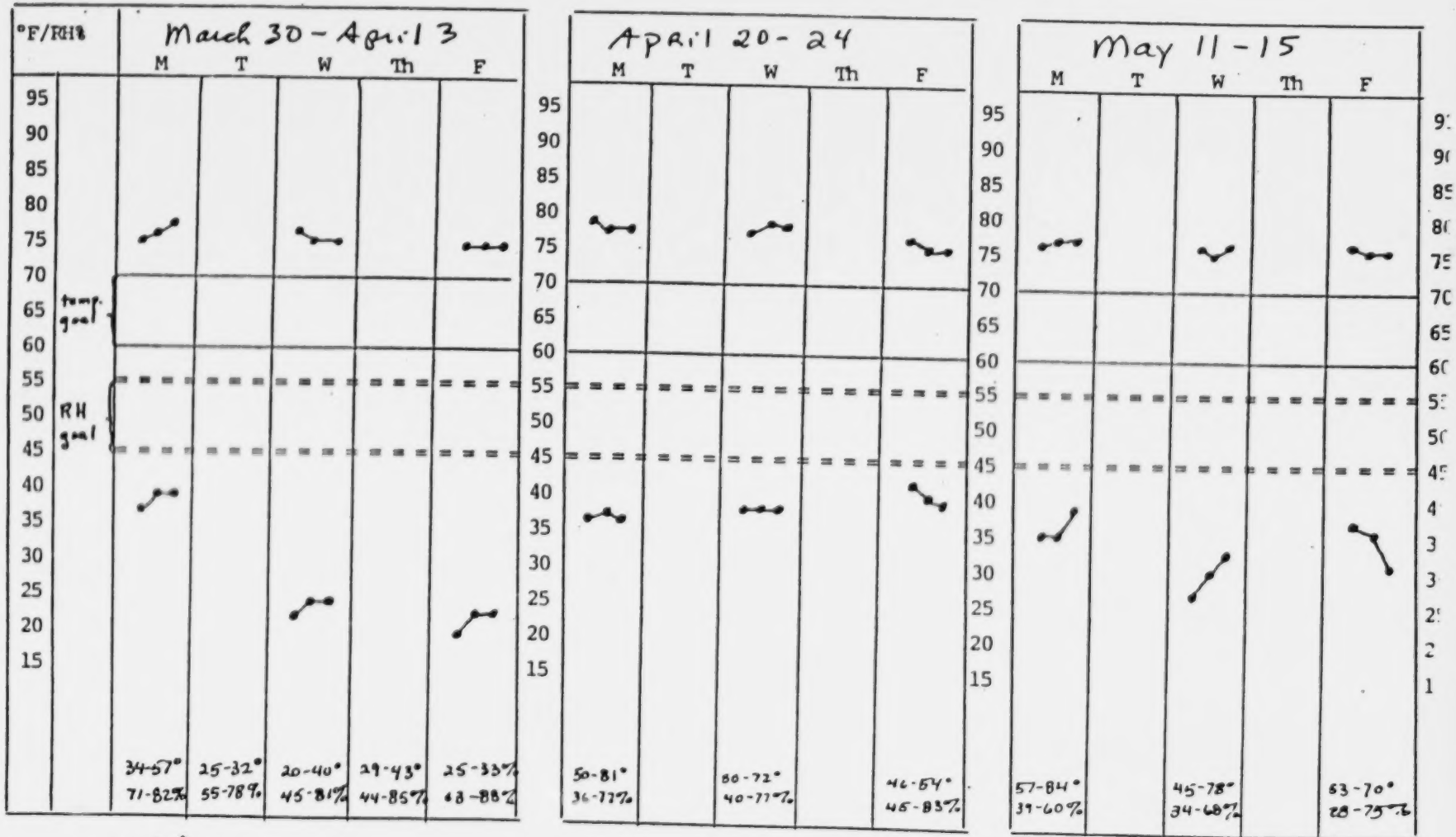
2) materials are sometimes in the stacks unbound or unboxed, and are being damaged by normal use (Hillman, Public Health). In Darlington, unbound, unboxed materials are stacked on the floor and other places
3) there are not enough bookends in Reference in Hillman and Public Health
4) the use of bookdrops should be reduced to a minimum and discontinued if possible
5) remove all spring-loaded bookdrops near photocopy machines and replace with bookcarts.

The following is a summary of the major environmental problems discovered in the libraries. They are listed in order of descending importance based on how widespread the problem is: within that order qualitative judgments are made on the severity of the problem.

1) high temperatures, which, because of their effect on RH, help cause a) the movement of moisture in and out of paper, and hence physical and chemical deterioration, and b) expansion and contraction, and hence cracking, of materials. Temperatures averaged close to 10 degrees above ideal, and it is widely accepted that the rate of chemical deterioration doubles for every 10 degree increase
2) low and fluctuating humidity, which is as widespread as 1). It causes a) dessication and brittleness, and b) in conjunction with temperature, the movement of moisture in and out of paper, weakening the structure of paper materials and hastening chemical deterioration. There is no consensus on the rate at which this problem damages materials, but some feel it is more destructive than high temperature
3) lack of shelf space, resulting in crowding, books being shelved too close to ceiling lights and air vents, fore-edge shelving, and storage of materials at the Annex. Obviously, this affects a much smaller percentage of the collection than do 1) and 2), but when books are physically damaged or stored in an unsound environment, destruction can occur much more quickly and be much greater
4) UV and visible light above acceptable levels, resulting in the fading of covers, the yellowing of paper, and localized high temperatures. This also affects a much smaller percentage of the collection than do 1) and 2), but the problem can be serious when UV light (in this case, sunlight) is allowed to shine directly on materials.

TEMPERATURE/RELATIVE HUMIDITY PATTERNS

Location: REFERENCE (Hillman)



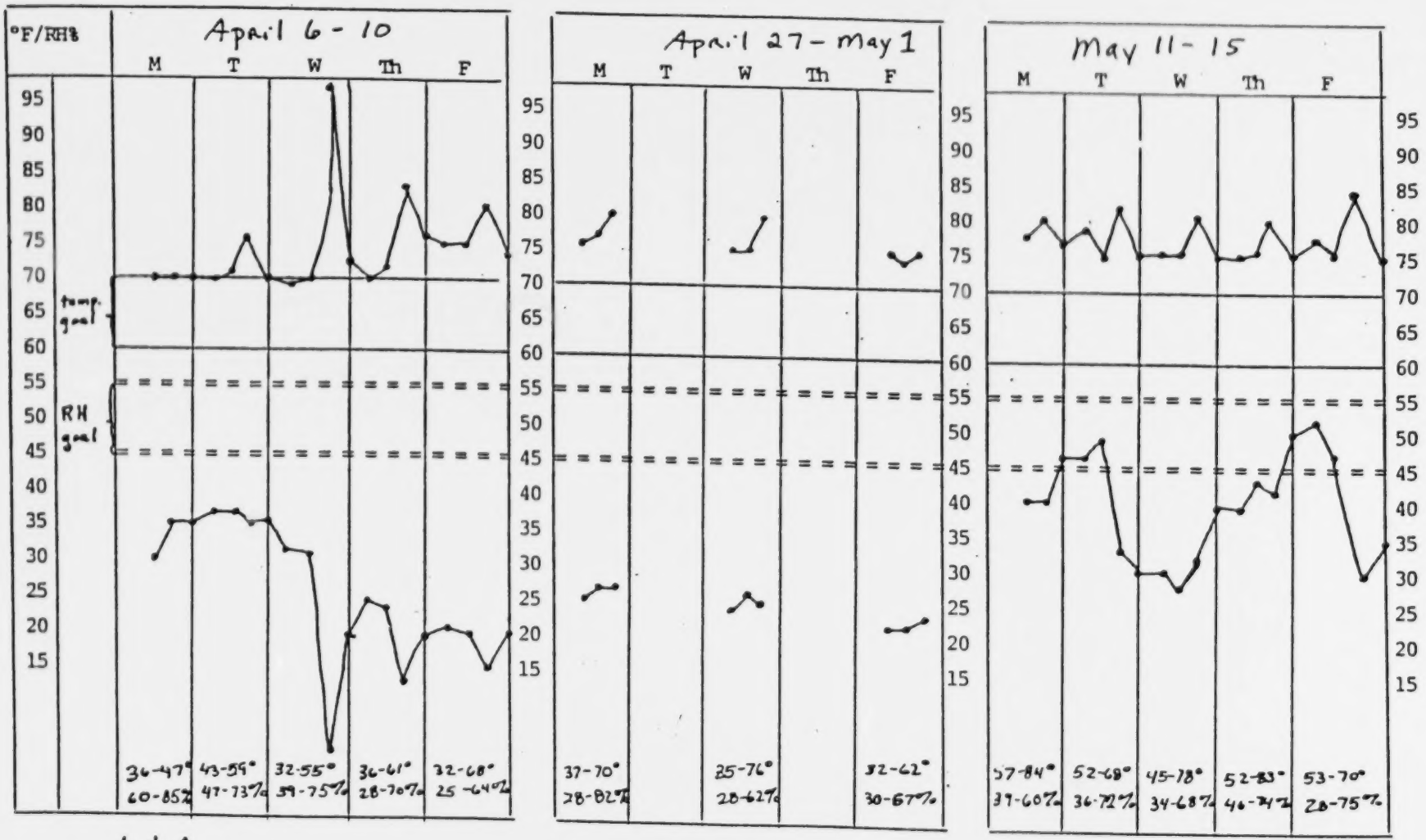
Outside: daily ↑ 20 - 57 °F
weekly → 44 - 88 RH%

46 - 83 °F
33 - 90 RH%

45 - 84 °F
28 - 75 RH%

TEMPERATURE/RELATIVE HUMIDITY PATTERNS

Location: Alldred North Room (Hillman)



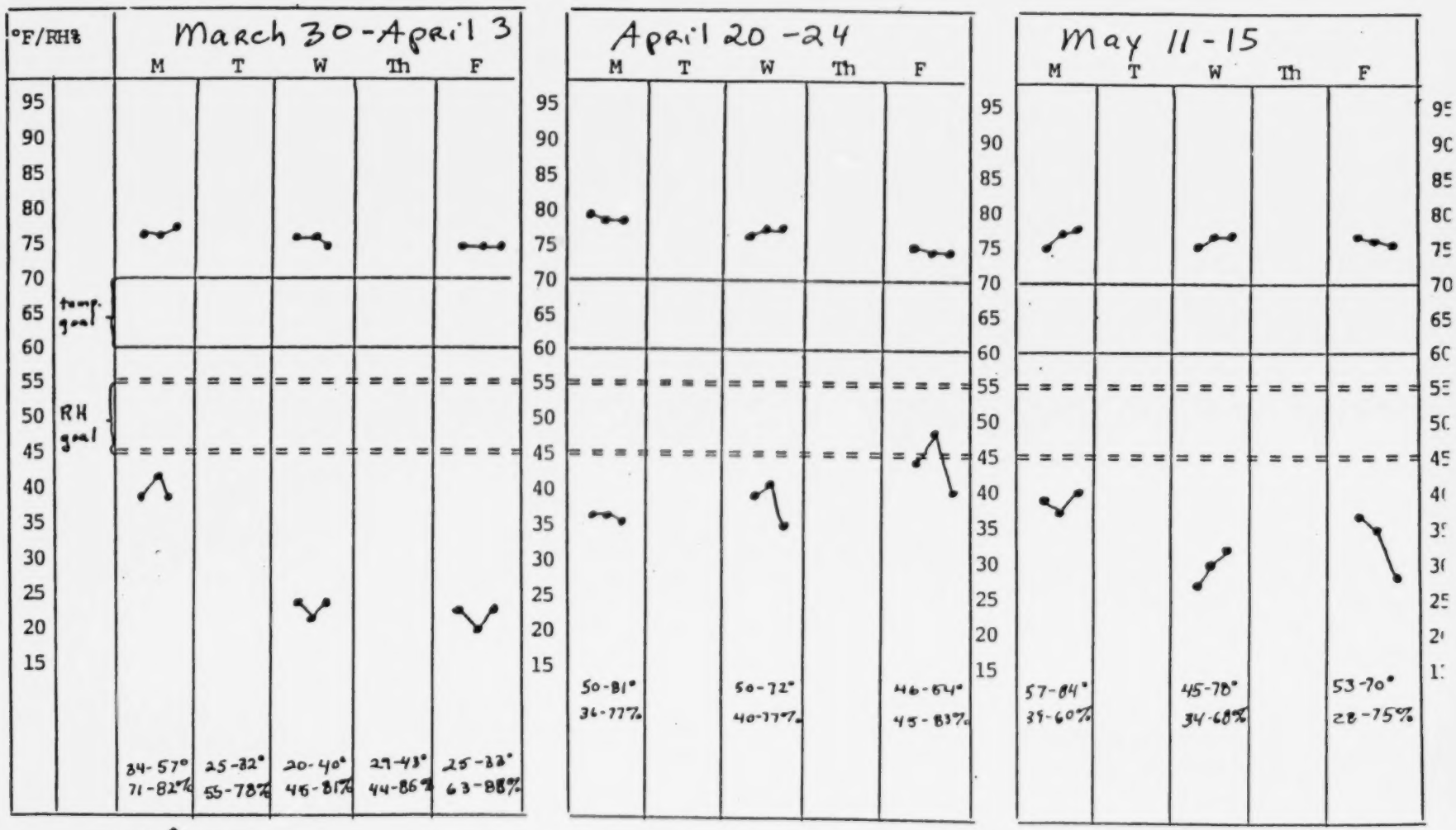
Outside: daily ↑ 32 - 68 °F
weekly → 25 - 85 RH%

32 - 76 °F
30 - 82 RH%

45 - 84 °F
28 - 75 RH%

TEMPERATURE/RELATIVE HUMIDITY PATTERNS

Location: BUHL (Hillman)



Outside: daily ↑ weekly →

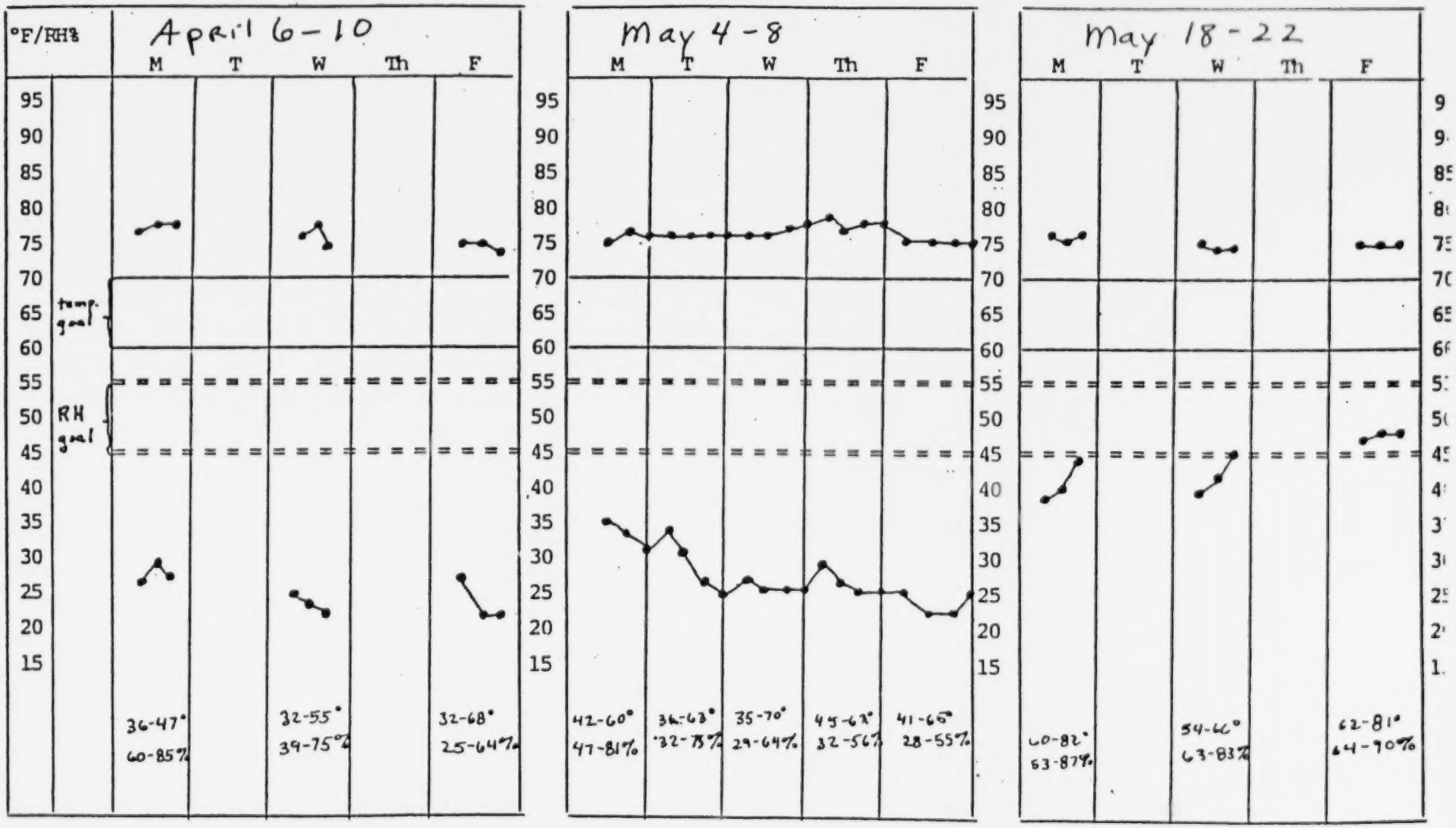
20 - 57 °F
44 - 88 RH%

46 - 83 °F
33 - 90 RH%

45 - 84 °F
28 - 75 RH%

TEMPERATURE/RELATIVE HUMIDITY PATTERNS

Location: 3rd floor stacks (Hillman)



Outside: daily ↑ weekly →

	32 - 68 °F	35 - 70 °F	51 - 82 °F
	25 - 85 RH%	29 - 81 RH%	53 - 90 RH%

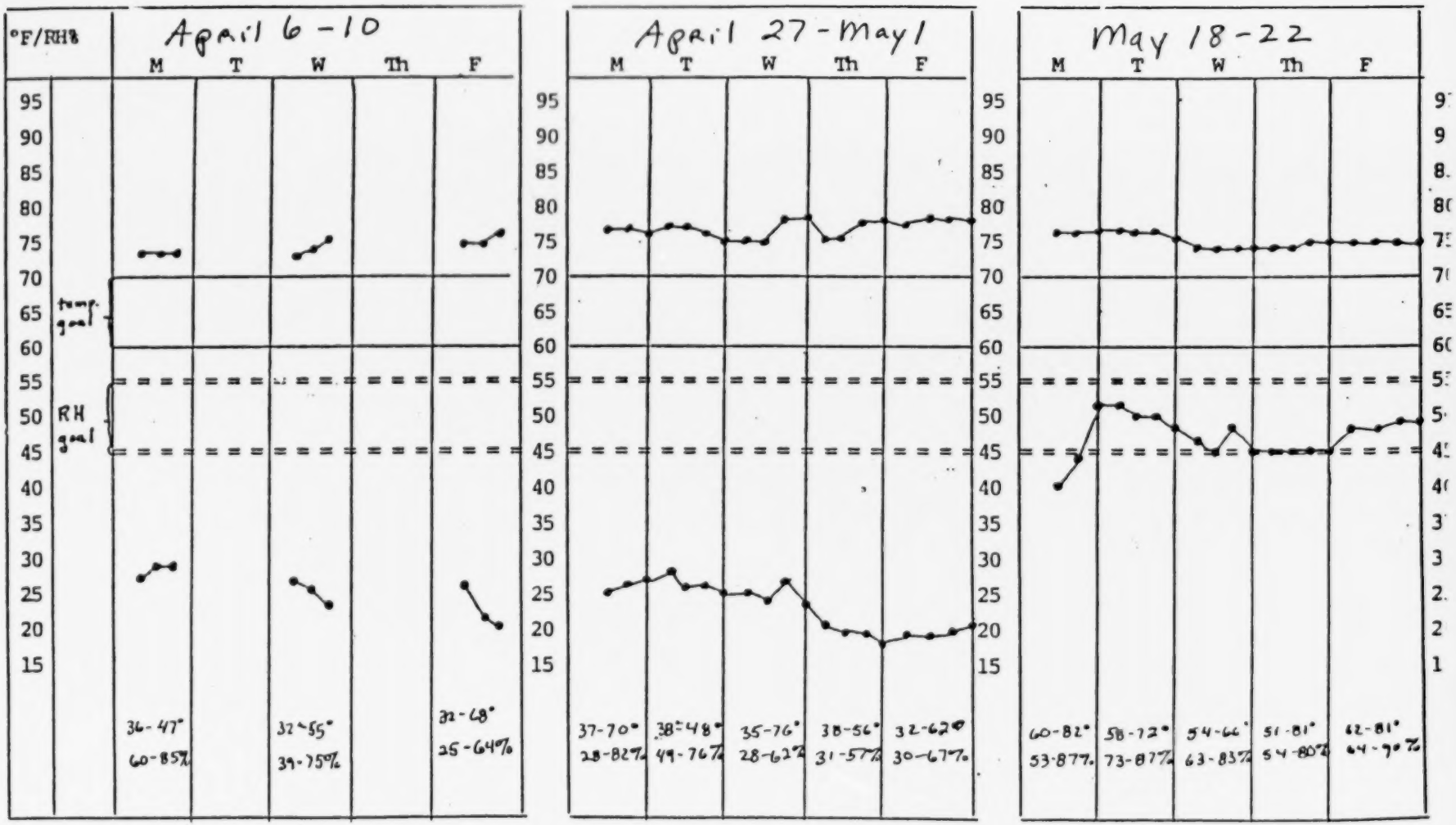
41

47

48

TEMPERATURE/RELATIVE HUMIDITY PATTERNS

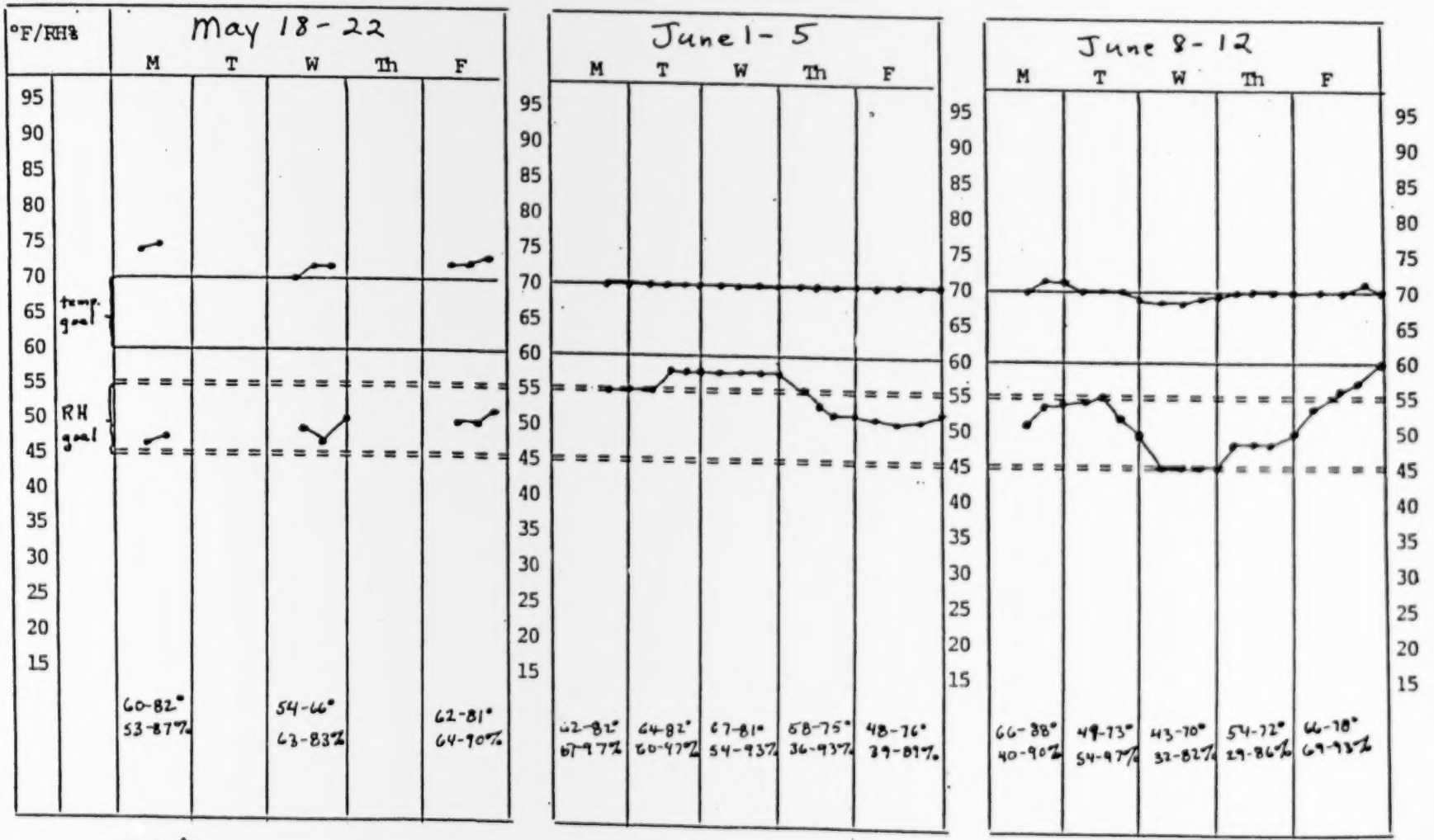
Location: 4th floor Stacks (West) Hillman



		April 6-10	April 27-May 1	May 18-22
Outside:	daily →	32 - 68 °F	32 - 76 °F	51 - 82 °F
	weekly →	25 - 85 RH%	30 - 82 RH%	53 - 90 RH%

TEMPERATURE/RELATIVE HUMIDITY PATTERNS

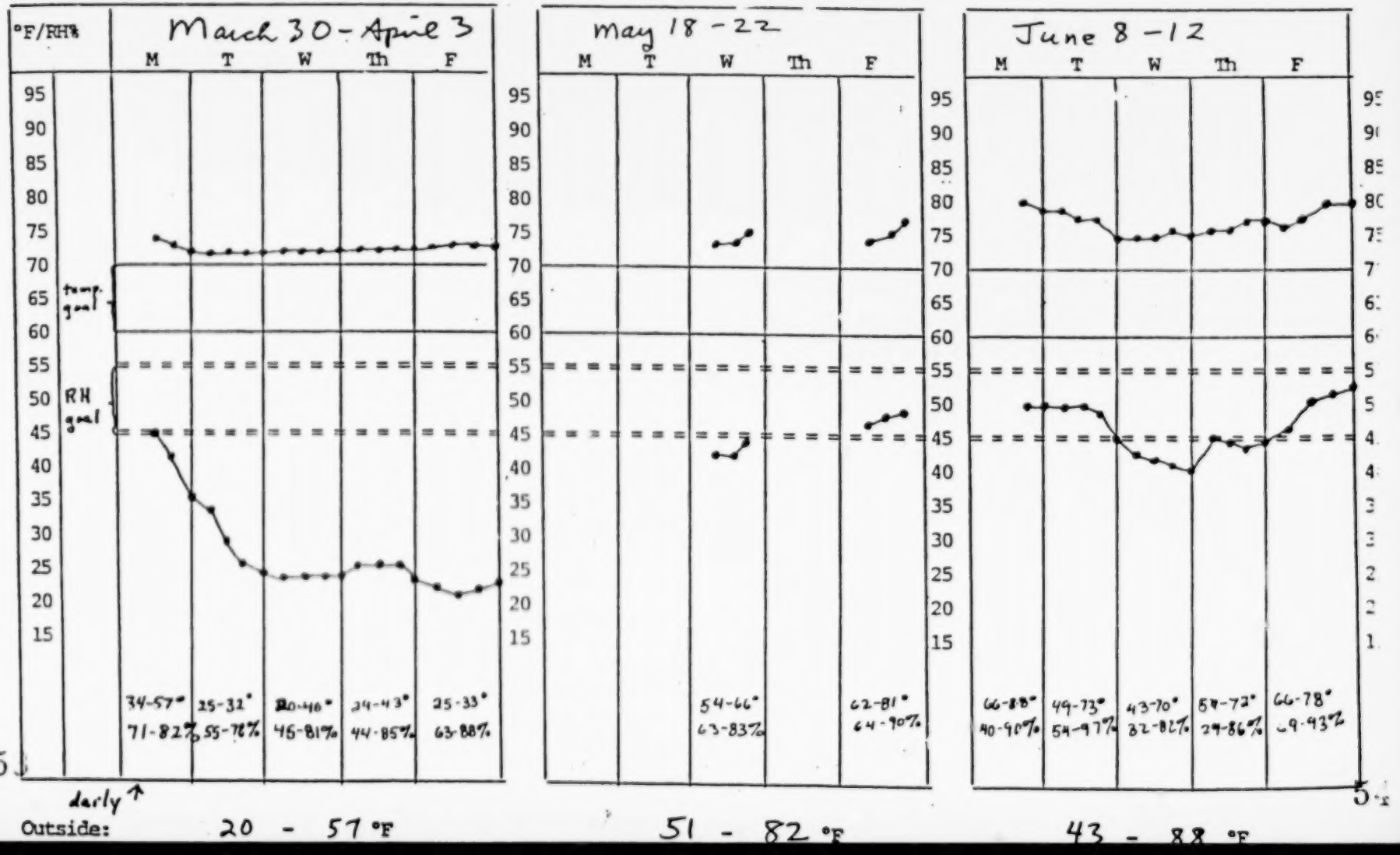
Location: SPECIAL COLLECTIONS, RARE BOOK ROOM (Hillman)



Outside: daily ↑ 51 - 82 °F 48 - 82 °F 43 - 88 °F

TEMPERATURE/RELATIVE HUMIDITY PATTERNS

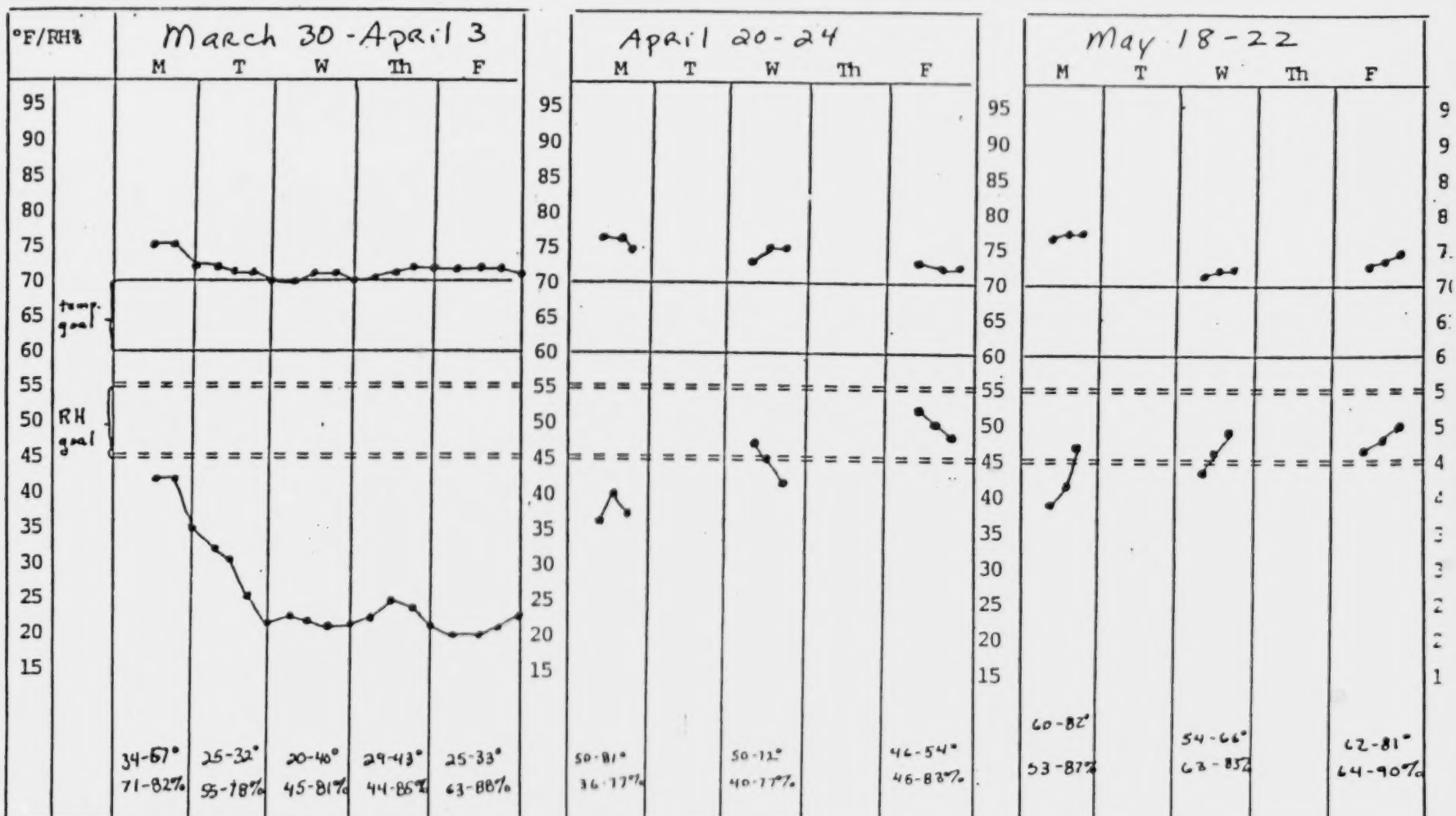
Location: Archives Services (Hillman)



Outside: 20 - 57 °F 51 - 82 °F 43 - 88 °F

TEMPERATURE/RELATIVE HUMIDITY PATTERNS

Location: 4th floor stacks (East) Hillman



Outside: daily → 20 - 57 °F

weekly → 44 - 88 RH%

46 - 83 °F

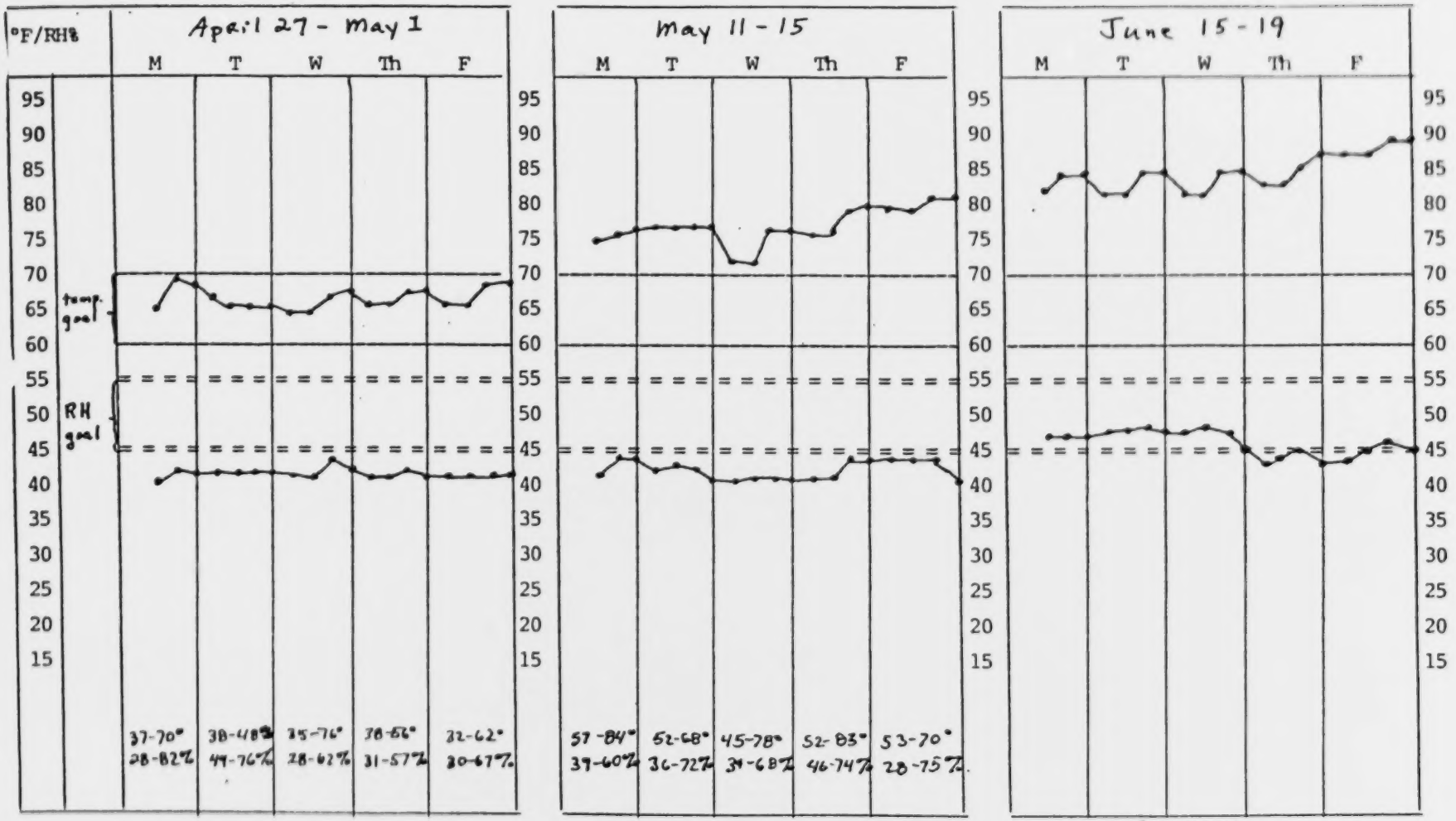
33 - 90 RH%

51 - 82 °F

53 - 90 RH%

TEMPERATURE/RELATIVE HUMIDITY PATTERNS

Location: ANNEX

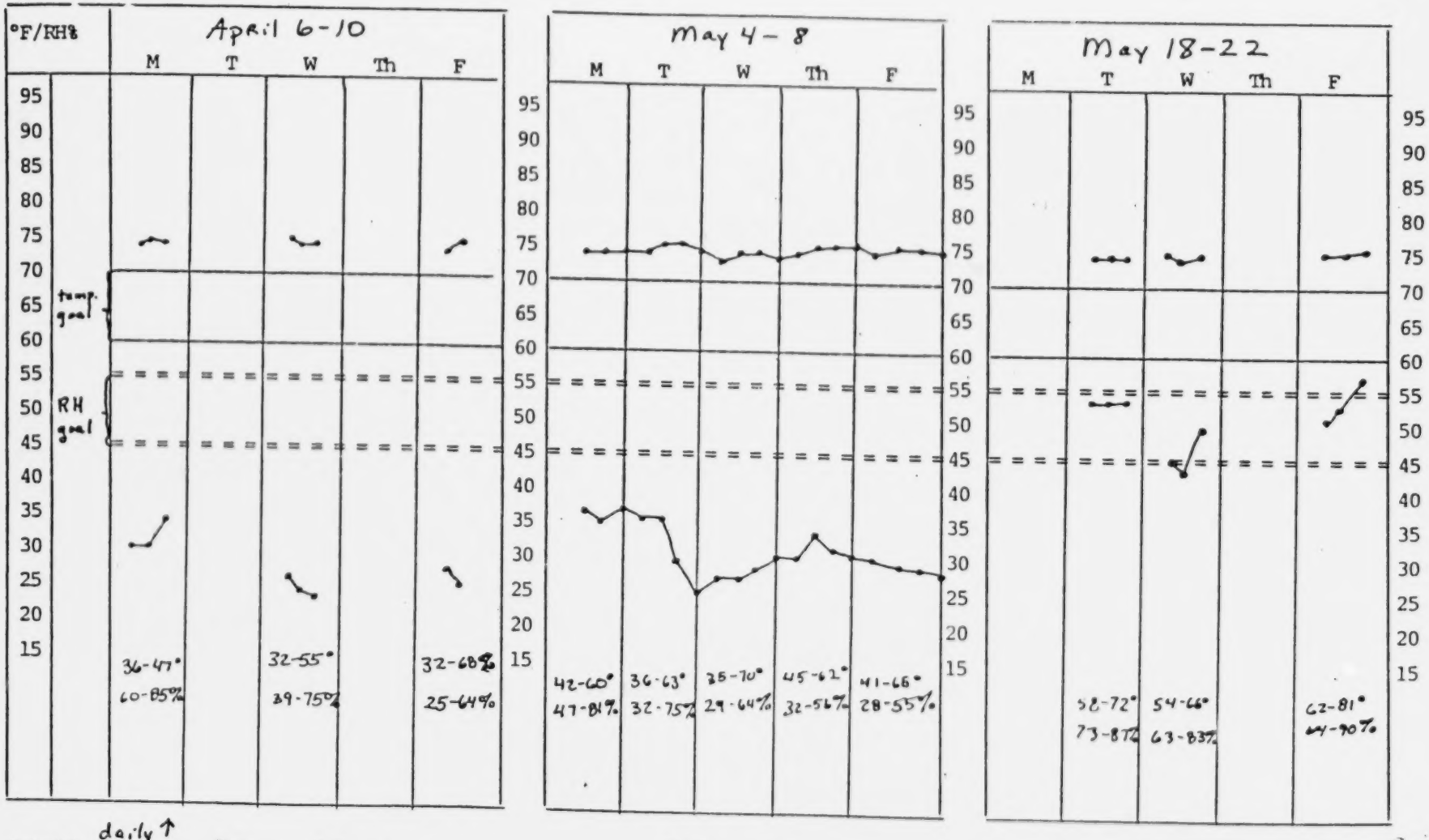


Outside: daily ↑ 32 - 76 °F 45 - 84 °F ___ - ___ °F

weekly → 30 - 82 RH% 28 - 75 RH% ___ - ___ RH%

TEMPERATURE/RELATIVE HUMIDITY PATTERNS

Location: PUBLIC HEALTH (average readings for all sites)



Outside: daily ↑ 32 - 68 °F

35 - 70 °F

51 - 82 °F

53

60

PRESERVATION PLANNING PROGRAM

Report of the
Organization and Procedures Task Force

Summary of Findings and Recommendations

Oxanna S. Kaufman, convening chr.

September, 1987

ORGANIZATION and PROCEDURES

SUMMARY

The Task Force conducted interviews with ULS and non-ULS staff currently engaged in "conservation/preservation" activities on the University of Pittsburgh campuses. A viable, all be it a fledgling program is in place in ULS. Conservation Repair, Binding, a Brittle Books Program for circulating books and a basic education program for part-time staff are in place with limited staffing in each area.

ARL libraries were investigated to determine the extent of their programs, staffing patterns and functions served. The data showed great diversity in all areas among these libraries. No clear pattern emerged. However, what was emphasized was that preservation programs be installed under whatever organizational pattern that would place the program under the strongest administrative person. A proposed organization for ULS is recommended; a chart is appended.

The recommendations of the Task Force are all encompassing and include recommendations for improving the existing organization, enhancing existing programs and creating new programs to develop the most comprehensive and effective preservation program possible.

The Task Force's recommendations are stated, as charged, in a plan for implementation in years 1-3 (short-range) and years 3-5 (long-range). The Task Force recognizes that the implementation of a regional program/facility under the auspices of the Oakland Consortium will impact the long-range recommendations.

The recommendations of the Task Force are all-encompassing and include suggestions for improving organizational patterns, updating existing programs, and finally, creating new programs to develop the most comprehensive and effective preservation program possible.

After reviewing numerous organization charts in order to reach the desired goals, the Task Force has decided that the chart included in Appendix VIII is optimal for the University of Pittsburgh libraries. The Task Force finds it imperative that the Collections Preservation Coordinator report to the highest level of administration for University libraries. Annual reviews of the administrative structure should be conducted, and adjusted accordingly, to increase the importance and status of this department by the fifth year of the program. The Task Force also finds it imperative that the Collections Preservation Coordinator have the authority to cross departmental lines for the purposes of effective and efficient program development, since preservation crosses all organization lines. Therefore, a long-range goal should be to review and adapt the existing organizational structure annually, with more administrative control inserted annually, until this department can function as an independent unit in year five.

Short-range (1-3 yrs.) recommendations for existing programs are:

1. Hire a full-time Preservation librarian, by FY 1988.

2. Increase support staff and student assistant staff, by FY 1986, as follows:
   Brittle Books Program:
   Increase the half-time LA I to full-time LA I
   Increase student hours to 25 hours
   Conservation repair:
   Add a half-time LTA position
   Increase student hours to 20 hours

3. Review/update current training/retraining programs for staff in preservation procedures, awareness, etc.

4. Expand the Brittle Books Program to include systematic review of the Hillman collection and extend the program to other ULS libraries.

5. Consolidate ULS preservation functions (staff office space, Brittle Books Program, conservation repair, binding preparation) into adequate contiguous space. The total space should be increased at least four times the present space.

6. Under the direction of the Collections Preservation Department, consolidate all ULS conservation repair functions.

7. Incorporate preservation awareness education into the current bibliographic instruction program that is in place.

8. Initiate an active consultation program for non-ULS libraries.

9. Create a half-time secretarial position to support the activities of the department.

Long-range (3-5 yrs.) recommendations for new programs are:

1. Develop a comprehensive and extensive Outreach Program for education/training in stages that, within five years, would be a comprehensive agenda:
   1st stage - Hillman and other ULS libraries
   2nd stage - non-ULS departmental libraries
   3rd stage - regional campus libraries
   4th stage - Oakland Consortium

2. Extend the Brittle Books Program to non-ULS libraries.

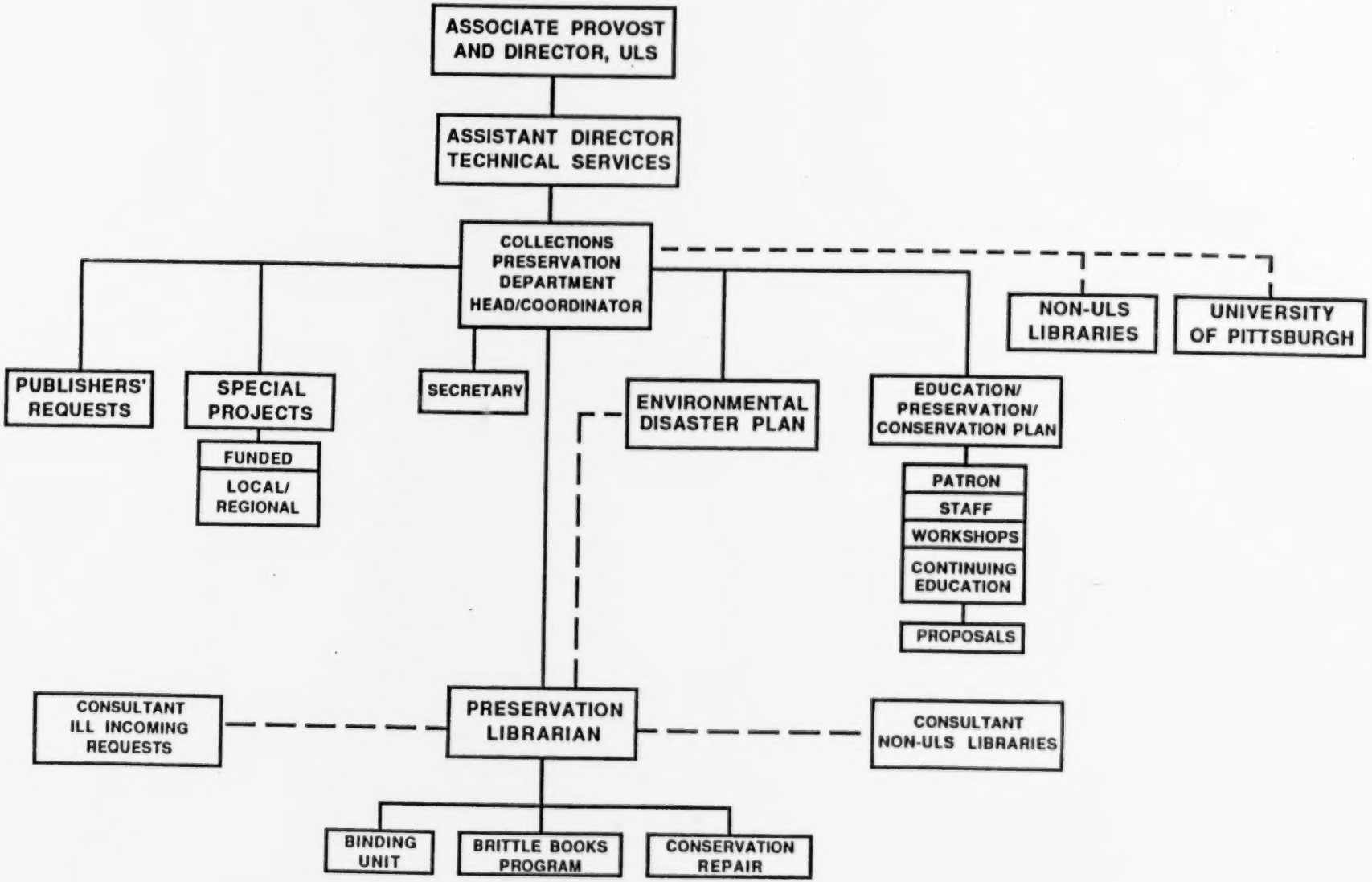
3. Extend the preservation program to include University "treasures", such as the Stephen Foster Memorial collection, and others.

4. Increase the half-time secretarial position for the department to a full-time position.

The Task Force strongly recommends not creating an in-house microfilming program or an in-house conservation repair laboratory, at the present time. Existing facilities should be utilized, such as the Northeast Document Center and the Mid-Atlantic Preservation Service (MAPS) available at Lehigh University, for the purpose of cost effectiveness.

The Task Force recognizes that in the event that the Oakland Consortium or other regional proposals for a cooperative preservation program are successful, some of the Task Force's recommendations may need to be reviewed.

PROPOSED ULS PRESERVATION DEPARTMENT



PRESERVATION PLANNING PROGRAM

Report of the

Resources/Instruction Task Force

Summary of Findings and Recommendations

Frank A. Zabrosky, chr.

September, 1987

RESOURCES

Ready accessibility to individuals with specialized skill/knowledge and to sources of supplies, equipment, services and information appears to be an essential element for a credible preservation/conservation program. Such ready accessibility should emcompass not only resources available in the University Library System (ULS) and the University, but resources within other institutions, networks, consortia, centers and those available in the commercial and trade sectors.

Recommendations:

1. Collections Preservation Department to maintain a directory on preservation/conservation resources (specialized skills, individuals with specialized knowledge, sources of supplies, equipment, services, information) available in the library system, in the University and externally in the region. (The Preservation/conservation Directory compiled by the RITF could serve as the starting point). Information should be kept current and updated regularly. Information in the directory should be made available to all interested individuals. To that end, existence of the directory should be publicized through formal and informal channels.
   Agency: Collections Preservation Department
   Action: Implement immediately

2. Supply and equipment catalogs covering preservation and conservation should be centralized and maintained by the Collections Preservation Department.
   Agency: Collections Preservation Department
   Action: Implement immediately

3. Consideration should be given to the development of an automated database or insertion into an automated database so that the information can be accessed electronically from remote areas the information on preservation/conservation resources.
   Agency: Collections Preservation Department in co-ordination with the Library Automation Committee
   Action: Consider issue and develop plan: implement, if feasible, within five years (approval of administration required)

4. The Coordinator, Collections Preservation Department, should take an active leadership role in the development and exchange of resources data through the local cooperatives, consortia and networks which exist or may come into being.

   Agency: Library Administration
   Action: Review current agreements and arrangements; make immediate appointment where now possible; continue action in future planning.

5. That staff, other than that of the Collections Preservation Department, who hold by formal or informal education or training, specialized skills and knowledge in matters of preservation/conservation, be invited to serve, in an adjunct capacity, on an Advisory Committee to the Collections Preservation Department.

   Agency: Library Administration
   Action: Review and approval by Library Administration. If approved, provide responsibility in the charter to the Collections Preservation Department.

INSTRUCTION

The library collections which have been developed at the University of Pittsburgh reflect this institution's and this community's dedication to the preservation, transmission and generation of knowledge. Those efforts mark all of mankind's quest for an understanding of the past, planning in the present and anticipating the future. Very practically, the library collections embody an investment, historically, of a considerable number of millions of dollars. It is in the interest of the institution, its administrators, its library managers, its faculty, students and patrons to care for the heritage with which it has been entrusted.

To this end, the study group recommends:

1. The Collections Preservation Department, in conjunction with the Library Instruction Office, design a series of lectures, to be attended by all ULS faculty librarians

and full-time staff, on the importance and necessity of collections preservation and to include: Brittle Books Program; examples of proper techniques for handling library materials; and structure and organization within ULS for routing and referral of items for preservation/conservation repair decisions.

Action: To be developed and implemented by the Collections Preeservation Department and Library Instruction Office within eighteen months and no later than the start of fiscal year 1990-91.

2. The Collections Preservation Department, with the Library Instruction Office, develop a "Preservation Manual" to be used by all ULS staff and containing: the background and history of preservation concerns, materials handling, shelving and storing techniques and procedures for all types of library materials, organization and structure of the conservation decision process, including routing/referral procedures and a glossary of preservation/conservation and book-related terms.

Action: To be developed and implemented by the Collections Preservation Department and Library Instruction Office as soon as possible.

3. Student assistants and part-time personnel to meet with Collections Preservation Department personnel and be instructed in the handling and shelving of books, journals and other library materials. Instruction should include recognition of items requiring repairs and the proper referral of such items.

Action: Immediate implementation by Collections Preservation Department.

4. The Collections Preservation Department should undertake examination of current routing/referral procedures and conservation repair decision points within ULS units and departmental libraries in order to determine target groups for instruction in appropriate types of conservation repair and referral decisions.

Action: Collections Preservation Department to review immediately.

5. The Collections Preservation Department, in conjunction with the Library Instruction Office, prepare a hand-out to include the background and history of publishing,

leading to current preservation concerns, description of brittle book situation and program within ULS, proper handling and sorting techniques for various library materials (books, microforms, phonodics, CD), glossary of commonly used terms, for distribution in Library Instruction classes, on tours and at points-of-use and service desks; and from thius information, to extrapolate appropriate material for distribution at each service desk (e.g., a "How to Handle Microforms" hand-out for the Microforms Department).

Action: Collections Preservation Department and Library Instruction Office to develop and implement within one year.

6. The Collections Preservation Department and the Library Instruction Office to prepare a preservation segment to be included in the presentation available to the general public on the Hillman Library via the Hillman video kiosk.

Action: Collections Preservation Department and Library Instruction Office to co-ordinate development and implementation; timing will depend on the designing and production of a new user tape.

7. A hand-out be developed by the Collections Preservation Department and the Library Instruction Office to use as a guide in instructing the general user on how to handle library materials, especially books, journals, microforms and phonodics, and for distribution at Library Instruction lectures, tours, and at points-of-use and service desks.

Action: Collections Preservation Department and Library Instruction Office to develop and implement by September, 1988.

8. Collections Preservation Department to develop a remountable exhibit for Hillman to illustrate damages to library materials through mishandling, food, drink, smoke, insects and the consequences of these damages for the user; the exhibit could be used for a "Save the Books" campaign.

Action: Implementation by Collections Preservation Department and Library Instruction Office by beginning of fiscal year '90.

The REPORT OF THE TASK FORCE ON RESOURCES AND INSTRUCTION contains other suggestions which might be reviewed by the Collections Preservation Department and the Library Instruction Office; that REPORT also discusses alternative instructional methods and media in volume four of the PRESERVATION/CONSERVATION RESOURCES DIRECTORY.

PRESERVATION PLANNING PROGRAM

Report of the
Disaster Planning Task Force

Summary of Findings and Recommendations

Charles Aston, chr.

September, 1987

DISASTER PLANNING TASK FORCE
FINAL REPORT

Our final report is comprised of two parts: 1) the revised and expanded Disaster Manual and 2) a recommended plan for on-going permanent disaster planning and awareness for all library facilities at Pitt.

The Disaster Manual consists of three sections: 1) the revised and updated 1984 U.L.S. Disaster Guidelines, originally prepared by Patricia Gladis, a very succinct, workable document for fire and water damage recovery at Pitt; 2) a copy of the current Peter Water's Manual, Procedures for Salvage of Water-Damaged Library Materials (Library of Congress, 1979) - the leading detailed procedures manual from L.C.; and 3) an extensive Appendix, arranged alphabetically by topics (from "Bomb Threats" to "Vandalism") covering a broader range of Emergency and Disaster information, some of which has been supplied by the Task Force, some of which is in the form of work sheets which are to be filled in covering the specific situation of each library facility at the University. The Manual is loose leaf and meant to be a useful, changing document, easily revised and updated over time.

The Task Force recommendation for future planning recommends that the library administration gives priority to establishing two permanent administrative committees (with changing membership, as appropriate) one dedicated to on-going Disaster Planning and Prevention, the other essentially a Disaster Action Team, comprised of personnel who are, or who have been, prepared and who are available to respond to a library disaster quickly and on short notice. The Task Force recommends that the two permanent members of both committees be a) an appropriate senior level library administrator and b) the Library's Preservation Officer. All other members of both committees are to be appointed according to an established time period and replacement schedule.

The Task Force stresses the importance of creating and supporting appropriate on-going disaster prevention and action committees to strengthen the institution's readiness and awareness levels. There are 25 separate physical library facilities operated by the University of Pittsburgh, ranging in size and complexity from very small, older facilities (e.g., Math, Music, Stephen Foster) to large, modern, technologically complex facilities (e.g., Hillman, Falk Library, Johnstown Campus Library). The disaster prevention and preparedness planning needs for each facility vary considerably. For this reason the Task Force has developed a basic planning set of questions, the "Disaster Prevention Checklist for Survey of Individual Libraries" (enclosed), which should be completed for each library under the supervision and guidance of the permanent Disaster Planning and Prevention Committee.

The Task Force feels that the combined accomplishments of preparing the "Disaster Prevention Checklist" and completing the appropriate appendix pages in the Manual will vastly increase the over-all preparedness and awareness levels of all library staff. None of this will occur, however without the creation and oversight of a permanent Disaster Planning & Prevention Committee having strong administrative

backing. Without this backing, such necessary activities such as individual library (or building) fire drills, training in the use of fire extinguishers and stand pipe hoses, and the development of general team cooperation will simply not occur.

The Task Force hopes that, if these recommendations for a permanent planning, training, and awareness effort are put into effect, they will be useful as a model to regional and neighboring libraries.

REPORT BACKGROUND

The working meetings of the Disaster Planning Task Force began in April, 1987, and continued throughout the Spring and Summer. After an initial review of both the O.M.S. Self Study Manual and the existing U.L.S. Disaster Guidelines, the Task Force realized that it could best accomplish its original charges by achieving two realistic goals: 1) review, update, and expand, as necessary, the existing Guidelines (i.e., produce a more comprehensive Manual applicable to all Pitt library facilities) and 2) develop recommendations, in the form of a basic, manageable, plan, that would assure the ongoing review, analysis, and necessary corrective action that will be necessary to implement permanent, up-to-date disaster planning and preparation at the University. The Task Force reviewed the "Disaster Preparedness" responses to the general Preservation Planning Project's library-wide survey questionnaire and confirmed that about one half of the respondents felt minimally knowledgeable or prepared to deal with a disaster. (Nearly everyone, however, reported owning and having read the original U.L.S. Disaster Guidelines.)

The Task Force broke into two working groups, TFI to work on revision and expansion of the existing Guidelines, TF II to work on analyzing and developing a methodology for long term disaster prevention and management. Both Task Force groups received a number of existing manuals and readings, (including a recap. of the 1977 Langley explosion and Pitt's help in the Johnstown flood of 1977). In developing both its recommendations and in preparing the Disaster Manual, however, the Task Force groups paid special attention to the following sources:

-New York University. Disaster Plan Workbook. 1984
-Northwestern University. Disaster Planning Task Force Report. 1986.
-O.M.S. Preservation Planning Self-Study Manual. 1982.
-O.M.S. Spec. Kit No. 69. Preparing for Emergencies and Disasters. 1980
-Toronto Area Archivists Group. An Ounce of Prevention. 1985.
-U.L.S. Preservation Planning Project Background Paper. 1987.

Task Force Group I, working on revising the Guidelines, after reviewing the above listed guidelines and manuals, decided that the 1984 U.L.S. Disaster Guidelines were succinct, well written and clearly

spoke to Pitt library staff. The Guidelines were limited, however, in focusing almost exclusively on water-related disasters. Also, much of the valuable resource information originally included, needed verification and/or updating. The largest need, however, was to both expand the Guidelines so that they encompassed the wide range of other possible emergency situations that might arise, while at the same time creating a format that would be equally applicable to either a small or large facility, either on the Oakland campus or off campus (such as the regional campus libraries). Fortunately, the N.Y.U. 1984 Disaster Plan Workbook was available. It was published in a loose-leaf format and intended for adaptation to a wide range of institutions. Although the Task Force group did not like the individual function-type subject divisions, or the individual page formats used in the N.Y.U. Workbook, the specific material covered was appropriate and useable in many instances, if we carefully formatted the pages. The Task Force Groups proceeded to edit and correct the 1984 U.L.S. Guidelines, including developing a "Summary Disaster Information Checklist" for the front of the Manual. The Task Force Group then went through the N.Y.U. Workbook page-by-page and selected and revised those pages applicable to the University of Pittsburgh Libraries. The end result was an "Appendix" as a third part of the Manual which presents information and guidance for a wide variety of topics, many of which are not covered in the earlier Guidelines. (The "Appendix" topics contents list is enclosed.) Finally, the Task Force aggreed that we should retain a copy of the Peter Waters' work, Procedures for Salvage of Water-Damaged Library Materials. (Library of Congress, 1979.) as part of the Pitt Manual because it is a more detailed procedural guide and is one of the best formatted and most accessible procedures manuals. (As of 8/87, a new edition of this work is in the development stage, the Center for the Book, Library of Congress, reports.)

The combined results of these decisions is the bright yellow Disaster Manual in loose leaf format, hopefully, in your hands. The above mentioned "Appendix" contains useful, up-to-date (and new) information in about one-half of the headings; many of the specific information pages additionally must be filled in by each department, departmental, divisional, or regional campus library in order to make the specific topic useful and timely. Completing this information should be a priority task once each responsible library or unit head receives their copy of the Manual. It is the hope of the Task Force that a permanent "Disaster Planning and Prevention Committee" if established, will facilitate the usefulness of the appendix. (It should be noted that a copy of the "Disaster Preparedness Checklist for Survey of Individual Libraries." is included as a part of the Manual.)

The Task Force Group II, assigned to draft a plan for on-going permanent disaster planning and awareness, reviewed a number of disaster working and planning documents. (In addition to those listed above, the group also reviewed disaster plans from the Oklahoma Conservation Congress, Tulane University, University of Missouri, and Stanford University.)

The Group's recommendation of establishing dual standing committees, one for Disaster Planning and Preparation and one for Disaster Action, derived from the committee structure recommended in the Northwestern University Disaster Control Task Force Report, 1986. The Task Force feels that administrative committees with appointed administrators and committee members, having definite goals and objectives in mind, would move towards achieving a standard level of preparedness throughout the university. (At present, for example, levels of awareness and preparedness vary widely, especially in regard to fire drill training, knowledge about evacuation procedures, and knowledge about handling fire extinguishers or, in general, dealing with emergency situations.) A standing adminstrative committee should develop education and training sessions on an ongoing basis while at the same time working constantly with library unit heads to develop training and knowledge about their own specific physical facilities. With this latter goal in mind, the Task Force group carefully went through the exhaustive manual, An Ounce of Prevention: A Handbook on Disaster Contingency Planning . . . . (Toronto, 1985) and used it as a basis from which to develop the enclosed survey checklist, "Disaster Prevention Checklist for Survey of Individual Libraries."

One of the first tasks a permanent standing committee on Disaster Planning and Prevention should undertake, the Task Force feels, is to develop the mechanism by which this questionnaire is carefully and completely filled out, as appropriate, for each of the 25 physical library facilities at Pitt. In proceeding to develop answers to the list of 23 questions, each library (along with the committee) will educate themselves. Working from this data on a university-wide basis, there should develop an overall improvement in the level of preparedness and awareness on the part of librarians and staff. If this, or some similar, in-depth survey is not undertaken, then education and disaster preparedness will remain at a low level.

Appendix

Charge to the Study Team

University of Pittsburgh

ASSOCIATE PROVOST AND DIRECTOR OF UNIVERSITY LIBRARIES

MEMORANDUM

TO: Preservation Planning Project Study Team

FROM: Anne Woodsworth, Associate Provost and Director of University Libraries

DATE: September 10, 1986

RE: Charge to the Preservation Planning Project Study Team

INTRODUCTION

The library collections at the University of Pittsburgh are one of its most important capital investments, currently growing in value by several million dollars per year. Not only are these collections a critical component to maintain for the University's teaching and research missions, but they are an irreplaceable resource that is part of a national and international research library inventory. In the past decade, libraries have recognized that their collections are seriously endangered by a combination of environmental conditions, improper handling and inherently unstable nature of the material themselves (e.g. acid paper and bindings). Studies of large research libraries elsewhere have indicated that as much as a third of their collections have reached a state of deterioration that makes further use almost impossible. However, with planning and effort, it is possible to arrest deterioration and to make an irreplaceable resource a durable one.

In recent years steps have been taken to begin to preserve library collections at Pitt. These have included the appointment of a half-time preservation librarian in 1981 in Hillman, selected restoration or conservation of rare materials in several libraries with special collections (e.g. Falk and SLIS), preparation of a disaster manual, and more recently the appointment of a full-time Coordinator for Collection Preservation in the University Library System. To build on these achievements, it seems appropriate to develop a plan for preservation activities for the future and to recommend a set of achievable objectives for the next five years.

The study team that will undertake this planning project are designated below and will be assisted by Jutta Reed-Scott, a consultant from ARL's Office of Management Studies. This group of people and the people yet to be appointed to various task forces - will be investing a substantial amount of time in the project in the next twelve months.

Project Goals and Objectives

The overall goal for the Study Team is to produce a plan for preservation activities at the University of Pittsburgh with a set of realistic objectives for at least five years, including short-term and mid-term actions recommended to achieve the objectives. This plan should set these objectives into the context of the University's organizational structure and separately administered libraries. In short, the plan should describe what needs to be done, in what order or priority, within what time-frame, the requisite organizational and administrative arrangements and procedures, and budgetary requirements.

Project Methodology

The Preservation Planning Project will be carried out as a self-study program using methods and guidelines that have been tested and carried out in several other large research libraries. The Study Team will be assisted by Jutta Reed-Scott, from ARL's Office of Management Studies (OMS). The self-study method calls for the appointment of a study team and a set of task forces. Members of the Study Team chair the task forces and select appointees to each task force. In their selection of task force members, the Study Team will try to avoid calling on people who are heavily involved in the implementation of NOTIS.

The first step in the process will be for the study team to prepare a background paper which identifies key issues for investigation and action by the task forces. Each task force will investigate a major issue and make recommendations for action. When these are finished the Study Team will review the task force reports and prepare a final report and recommendations to me and to CCUL.

Timetable

The Study Team will begin its work on September 15, 1986 when it meets with the Associate Provost and Director of University Libraries and the OMS Consultant. While the Study Team will set its own schedule for the work to be done, their final report should be completed by the end of August, 1987. The report will then be considered by CCUL and other appropriate committees and administrators. While no-one can commit to full implementation of the recommendations of the Study Team at this

The Preservation Planning Project Study Team will be considering a broad range of issues relating to preservation including, but not necessarily limited to: humidity and temperature controls, commercial binding, in-house repair techniques and materials, collection conditions, roles of bibliographers and circulation staff in preservation matters, educational programs for users and staff, methods of materials processing, and costs of various methods of preservation.

The Study Team is specifically charged to carry out the following tasks:

1. Assess the current physical condition of library collections, including guidelines for selecting items for preservation;
2. Investigate the environmental conditions;
3. Consider how preservation activities might best be organized and administered;
4. Review current and future resources available within the University and through cooperative ventures; and determine information and instructional needs for staff and users;
5. Identify disaster control capabilities and vulnerability.

The Study Team will be able to amplify these tasks as they progress, but if they deviate from them or find the need to expand them significantly, they will need approval from me or from CCUL.

time, I firmly believe that all librarians and administrators involved will be ready to implement an effective preservation program if it is within their means to do so.

The Study Team

The following persons have agreed to serve in the Study Team and to chair or co-chair the Task Forces listed below:

Oxanna Kaufman - Chair of the Study Team

Patricia Suozzi - Task Force 1: Collection Condition

Philip Wilkin - Task Force 2: Environment

Mary Beth Miller - Task Force 3: Organization & Procedures

Frank Zabrosky - Task Force 4: Resources & Instruction

Charles Aston - Task Force 5: Disaster Control

Patricia Gladis will serve as a resource person to all of the Task Force.

Since their work will affect most library personnel sooner or later, members of the Study Team will keep everyone informed about their activities and their schedule of work. This will be done through written reports in the ULS News, oral reports at Council and CCUL meetings and/or special bulletins if warranted.

Approved by CCUL
September 5, 1986

Charge to the Task Forces

TASK FORCES

To formulate a viable preservation plan, a study of specific areas of need and concern must be undertaken. These include: the physical condition of collections; the environmental conditions under which collections are housed; organization and administration for the care of collections; the multiple and varied resources required in the preservation and conservation of materials; awareness, through all levels of instruction, of the acute problem of a deteriorating stock; and the need for preparedness in facing emergency and disastrous events.

The following five Task Forces are charged with studying a particular area(s) of concern and with formulating short, intermediate, and long-range planning programs:

1. Collections Condition Task Force

It has been estimated that in large research libraries up to one third of the collections are in a state of deterioration. While brittle paper has been identified as the most serious problem, other physical problems, such as decayed or broken bindings, unstable photographic media, and damage to audio-visual materials, can also be identified. While it is known that the collections at the University of Pittsburgh do suffer from these problems to some degree, the precise nature and extent of the

deterioration is not known. Such precise information is, however, a prerequisite to the formulation of a coherent preservation plan that will address the particular needs of the University of Pittsburgh libraries. The goal of the Collections Condition Task Force is to conduct an investigation of the physical condition of the collections in order to obtain the data necessary for preservation planning.

The holdings of the University of Pittsburgh libraries number over five million items in many different formats. This size and variety, as well as strict time constraints, will limit the scope of the investigation by format and by number of items examined. Because of the preponderance of paper-based materials in the collections, the Task Force will limit its detailed study to this format. Since, of necessity, only a small number of items can actually be examined, a statistically valid sample will be selected so that the results obtained will be applicable to the collection as a whole. Although such precision will not be possible in studying the other formats contained in the collections, the Task Force will attempt to collect some information on their physical condition.

Upon completion of the investigation, the Task Force will compile the data and draft recommendations for potential solutions to the problems found. This report will then be presented to the Preservation Planning Project Study Team. It should be noted that investigation of the reasons for the physical deterioration of the collections will result in recommendations but the Collections Condition Task Force can not determine the strategies which will

implement these recommendations. These strategies fall within the purview of the libraries' administration. However, the Task Force should coordinate its work with that of the Environmental Conditions Task Force since the complementary data thus obtained may be of use to the Project Study Team.

Specifically, the Collections Condition Task Force is charged:

1. To develop a methodology appropriate for surveying the nature and severity of the physical problems of the collections;
2. To utilize this methodology in examining a statistically valid sample of the paper-based materials in the collections;
3. To outline ways in which this methodology can be employed in future investigations;
4. To gather, insofar as possible, information about the physical condition of other formats contained in the collections;
5. To make recommendations based on the data collected for both short-term and long-term solutions to the problems uncovered; and,
6. To present the findings and the recommendations to the Preservation Planning Project Study Team.

2. Environmental Conditions Task Force

National statistics indicate that 25-35% of books in libraries need some kind of attention; cursory examinations at the Hillman Library confirm these figures. In an attempt to build on the beginnings of a preservation program in the ULS, the Director recently formed a Preservation Planning Project Study Team, charging it with the responsibility of developing a plan for

preservation activities for the future and, more specifically, of recommending realistic objectives for the next five years. The Environmental Conditions Task Force (ECTF) is one of five Task Forces whose activities will be coordinated by the Preservation Planning Project Study Team.

Project Goals and Objectives. All things being equal, improving the environment is probably the single most important preservation activity. The ECTF's charge is to investigate the environmental conditions in which library materials are housed and used in the University Libraries. The ECTF has three primary responsibilities: 1) to gather data, 2) to analyze this data within the context of the particular subset of preservation issues assigned to each, and 3) to identify and evaluate potential recommendations for improvements based on the findings. The following discusses each of these in more depth.

1. The gathering of data refers to the collection of basic facts about temperature and humidity patterns, light levels, cleanliness, physical structures, etc. The ECTF will begin its work by deciding what information is needed to compile the data and statistics and how it might best be gathered; includes the specific methods to be used in each area, and the personnel to perform each task. The ECTF will need to keep the problems of studying environmental conditions in mind at all times, such as the wide variation in environmental conditions, including seasonal variations, and the uniqueness of

each building. The ECTF will also have to be mindful of several specific factors contributing to the preservation problem:

a. the inherently unstable chemical and physical nature of the materials,

b. external factors which accelerate deterioration, such as temperature, humidity, light, and chemical components, and

c. the nature of use and handling, binding techniques, shelving procedures, etc.

2. At the end of the data-gathering period, all data will be presented to the whole ECTF for analysis and discussion. Analysis will include:

a. examining the data to ensure that it is consistent and reliable,

b. extrapolation for final recommendations.

The findings will be compared with professionally accepted standards. This analysis should reveal major strengths and weaknesses in the University Libraries environment.

3. The data-gathering and analysis will allow the ECTF to make recommendations for improving the environmental conditions within the University Libraries. These recommendations should summarize:

a. the ECTF findings about strengths and weaknesses in the environmental conditions,

b. what can be done to improve the conditions, and

c. what results can be expected.

3. Organization and Procedures Task Force

In terms of a long-range plan, the library and the university administrations must be committed from the outset to the place of preservation in the overall mission of the library. The preservation program must become an integral part of the concept and daily operations or the program will lose its effectiveness. Currently there are basic preservation procedures in some units of the libraries but the very nature of preservation demands re-evaluation and the development of an organized plan.

The responsibilities of this Task Force will include the following basic areas of investigation:

1. To identify current preservation organization structures and procedures, i.e., individual and unit responsibilities for these functions.
2. To consider how preservation activities might best be developed, organized, and maintained within the existing structure of the University's libraries.
3. To identify current expenditures for preservation in order to provide a basis for an improved organized structure.
4. To consider alternatives for organization and procedures, within the structures of the various libraries, which could be more effective in carrying out the necessary activities.
5. To outline a series of short- and long-term

measures which will develop an effective program for the libraries.

4. *Disaster Planning Task Force*

It has been two years since the Preservation Librarian prepared and distributed the University of Pittsburgh Disaster Guidelines (1984). That same year the author of the Guidelines conducted disaster workshops for the Library System. While a number of librarians took the Disaster Guidelines seriously and attended the workshops, some were unable to do so. In addition, it has been fortunate during the recent years that the University has not experienced any major disaster. It is easy to avoid or ignore disaster preparedness simply because it is not a pleasant preoccupation or activity. All hope and generally assume that a disaster will not strike here. For just these reasons it is timely, within the overall context of the Preservation Self Study, that a Disaster Planning Task Force review the present Guidelines and the present state of preparedness of the libraries at the University of Pittsburgh. As its initial assignment the Disaster Planning Task Force will review overall disaster preparedness within the University Libraries and develop appropriate recommendations for the Preservation Study Team.

The Task Force will address the following questions as an approach to reviewing the present state of preparedness, with the goal of outlining an appropriate plan for future action:

1. What needs to be done to update or revise the existing Disaster Guidelines -- are they applicable to all libraries at Pitt?
2. How does the Library familiarize new staff with the Disaster Guidelines and how does the Library assure periodical review by the staff.
3. How will the Library System routinely review and update or revise the Guidelines in the future -- what mechanism will accomplish this?
4. What kinds of disasters and salvage procedures are not addressed in the present Guidelines and should be added?
5. What collections or departmental libraries need additional disaster prevention protection (e.g., against fire or water damage)?
6. What collections require general or special comprehensive loss insurance -- to what extent are disaster or catastrophic losses covered at present?
7. What library administrator will be immediately responsible for overseeing the preventive measures outlined above -- what mechanism might assist in this task on an on-going basis?

5. *Resources and Instruction Task Force*

The successful development and implementation of a Preservation Program will require the identification of a wide variety of material and human resources, a creative, imaginative utilization of those resources, and an aware, knowledgeable staff. The responsibility of this Task Force is to examine the different kinds of resources which may be valuable for preservation work, to design techniques for the control and dissemination of that resource data, and for effective use of preservation resources. While it is recognized that adequate financial resources will be necessary for the support of the development of a superior preservation program, the source(s) of such financial support can only be addressed in a most general way.

A. Goals of the investigation:

identify the information, materials, supplies, equipment, contractual services, information about procedures and sources of expertise

from the parent institution

from the surrounding community

from a network or cooperative

from other institutions, professional organizations

gather information and assess the current awareness, control, coordination, and dissemination of preservation resource data

examine the training, continuing education and exposure of staff to the needs, implications, and rewards of a Preservation Program

investigate the methods to sensitize the user, and particularly the public clientele, to preservation concerns

B. Objectives of the investigation:

develop a data base, machine or other, for the control, coordination, and dissemination of information in-house or external sources of preservation resources data

design alternative, short-and-long term outlines for training and continuing education programs for current staff

short term to incorporate proposal which could be implemented at present with little or no additional funding

a multi-year program which will require additional budgetary support

propose models for projects to alert and educate the public user as to the need for a preservation concern The Task Force will submit a report on its findings to the Preservation Planning Project Study Team.

LIST OF DOCUMENTS PRODUCED BY THE STUDY

Preservation Planning Project Study Team. Background Paper. University of Pittsburgh Libraries, March, 1987.

Report of the Collections Condition Task Force. Preservation Planning Project Study Team. University of Pittsburgh Libraries, August, 1987.

Report of the Environmental Condition Task Force. Preservation Planning Project Study Team. University of Pittsburgh Libraries, June, 1987.

Report of the Organization and Procedures Task Force. Preservation Planning Project Study Team. University of Pittsburgh Libraries, June, 1987.

Disaster manual. Report of the Disaster Planning Task Force. Preservation Planning Project Study Team, University of Pittsburgh Libraries, June, 1987.

Report of the Resources /Instruction Task Force. Preservation Planning Project Study Team. University of Pittsburgh Libraries, June, 1987.

Task Force on Resources/Instruction. Preservation/conservation resources directory.

Vol.1: Sources of Special Skills
Sources of Supplies and Materials
Sources of Equipment
Vol.2A: Commercial Binders
Vol.2B: Pamphlet Binders
Storage
Professional Associations
Vol.2C: Microfilming Dealers (A-L)
Vol.2D: Microfilming Dealers (M-W)
Vol.2E: Microfilming Dealers
Zytron
Vol.3: Sources of Information
Vol.4: Instruction/Education